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AUTHOR	Smith, James E.; And Others
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ABSTRACT

In the spring of 1980, the High School and Beyond (HSB) base year survey collected data from about 28,000 seniors and about 30,000 sophomores in more than 1,000 secondary schools. This supplement was designed to collect data concerning the methodology associated with the receipt of postsecondary financial aid within the first 4 years after high school for selected members of the HSB senior and sophomore cohorts. Financial aid data were collected for students in the sophomore cohort (n=10,026) during 1986-87 for the 1982-83 through 1985-86 academic years. Senior cohort (n=10,708) data were collected for the 1980-81 through 1983-84 school years. Sources of data include federal records of the Guaranteed Student Loan (GSL) program, federal records of the Pell Grant Program, and yearly GSL disbursement data from guarantee agencies participating in the GSL program. In addition, for students in the senior cohort, financial aid data were collected from the postsecondary institutions that the students reported attending. Original and follow-up data collection techniques, which depended on mail and telephone contacts and extraction of data from data bases, are described; and software and data entry and editing are discussed. Administration of the Institution Financial Aid Records Survey to the senior cohort is discussed; and the methods used to extract data from the records of the state guarantee agency GSL program, the federal guaranteed student loan program, and the Pell Grant disbursement program are described. Problems associated with confidentiality and non-response are also covered. Seven data tables, three figures, and eight exhibits are presented. The bulk of the document consists of 14 appendixes which provide copies of the data collection and processing plan various training and procedural manuals, and other forms and materials related to the research. (TJH)

HIGH SCHOOL AND BEYOND

FINANCIAL AID SUPPLEMENT

METHODOLOGY REPORT

James E. Smith
Azita Lehrenbaum
Sheila Cabrero-Heaviside
Lucinda Gray
Westat, Inc.

Paula Knepper
C. Dennis Carroll
Center for Education Statistics

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1. INTRODUCTION

1.1 Overview

In the spring of 1980, the High School and Beyond (HS&B) base year survey collected data from about 28,000 seniors and about 30,000 sophomores in more than 1,000 secondary schools. Like its predecessor (the National Longitudinal Study of 1972), the High School and Beyond study was designed to inform Federal and state policy through a series of comprehensive data collection efforts involving the same students over a number of years.

The Financial Aid Supplement (FAS) to the High School and Beyond study (HS&B) was designed to collect data concerning the receipt of postsecondary financial aid within the first four years after high school for selected members of the HS&B senior and sophomore cohorts.

By 1984, the High School and Beyond senior cohort had been out of high school for four years and it was possible to collect data concerning their postsecondary student financial aid for the academic years 1980-81, 1981-82, 1982-83, 1983-84. Financial Aid data were collected for students in the sophomore cohort during 1986-87 for the academic years 1982-83, 1983-84, 1984-85 and 1985-86.

For both the senior and sophomore cohorts, FAS collected financial aid data from three sources. First, Federal records of the Guaranteed Student Loan (GSL) Program were searched for data on each student. Second, Federal records of the Pell Grant Program were searched for data on each student. Third, yearly GSL disbursement data were requested from guarantee agencies participating in the Guaranteed Student Loan Program. In addition, for students in the senior cohort, financial aid data were collected from the postsecondary institutions that the students reported attending. The result of these FAS data collection efforts is a set of data files that is unique in terms of the data they contain about postsecondary student financial aid received by a sample of individual students.

It is important to remember that FAS data supplement the regular High School and Beyond survey data. Thus, appropriate analytic use of the FAS data depends upon first understanding the HS&B study and sample design. It also means that FAS data files are not meant to be used independently of other HS&B data files. All FAS files contain student ID numbers corresponding to those used in HS&B data files, thus permitting easy linkage of the data. FAS data files do not include weights, since weights are included on all HS&B data files to which the FAS data will be linked prior to analysis.

1.1.1 CES's Education Longitudinal Studies Program

The mission of the Center for Education Statistics (CES) includes the responsibility to "collect and disseminate statistics and other data related to education in the United States" and to "conduct and publish reports on specific analyses of the meaning and significance of such statistics" (Education Amendments of 1974 - Public Law 93-380, Title V, Section 501, amending Part A of the General Education Provisions Act). Consistent with this mandate and in response to the need for policy-relevant, time-series data on nationally representative samples of high school students, CES instituted the National Education Longitudinal Studies (NELS) program, a continuing long-term project.

The general aim of the NELS program is to study longitudinally the educational, vocational, and personal development of young people, beginning with their elementary or high school years, and the personal, familial, social, institutional, and cultural factors that may affect that development. The overall NELS program utilizes longitudinal, time-series data in two ways:

(1) Each cohort is surveyed at regular intervals over a span of years and

(2) Comparable data are obtained from successive cohorts, permitting studies of trends relevant to educational and career development and societal roles.

Thus far, the NELS program consists of two major studies: The National Longitudinal Study of the High School Class of 1972 (NLS-72) and High School and Beyond (HS&B). A third major study, the National Education Longitudinal Study of 1988 (NELS:88), will begin with a survey of eighth graders in 1988 and will continue with biennial followup surveys throughout the 1990s.

The first major study, NLS-72, began with the collection of comprehensive base year survey data from approximately 19,000 high school seniors in the spring of 1972. The NLS-72 first followup survey added nearly 4,500 individuals in the original sample who did not participate at the time of the base year survey. Three more followup surveys were conducted with the full sample in 1974, 1976, and 1979, using a combination of mail surveys and personal and telephone interviews. The fifth followup survey, with a subsample of 14,489 individuals, took place during the spring of 1986.

The second major survey, HS&B, was designed to inform Federal and state policy in the decade of the 1980s. HS&B began in the spring of 1980 with the collection of base year questionnaire and test data on over 58,000 high school seniors and sophomores. The first followup survey was conducted in the spring of 1982, the second followup in the spring of 1984, and the third followup in the spring of 1986. The four survey cohorts (the NLS-72 seniors, the HS&B seniors and sophomores, and the NELS:88 8th graders) are displayed in Figure 1-1 according to their initial and subsequent survey years and their modal age at the time of each survey. As shown, the NLS-72 seniors were first surveyed in 1972 at age 18 and have been resurveyed five times since, with the last survey occurring in 1986 when these young adults were about 32 years of age.

The HS&B cohorts have been surveyed at points in time that would permit as much comparison as possible with the time points selected for NLS-72. In particular, three types of comparison are possible. First, the three cohorts can be compared on a time-lag basis (intercohort or intergenerational). For example, the high school seniors of 1972 and the high school seniors of 1980 and 1982 can be contrasted to determine changes over time in the composition, distribution, and needs of high school seniors. Second, fixed-time comparisons can be undertaken. For a given year, the data collection for each cohort can be viewed as a cross-sectional study. It is possible, for example, to compare employment rates in 1986 of 22-, 24- and 32-year-olds. The cohorts can be analyzed longitudinally (diagonal lines in Figure 1-1). Because the history of the age cohort can be taken into account and modeled, analyses can be designed that isolate educational effects from the effects of differential life experiences.

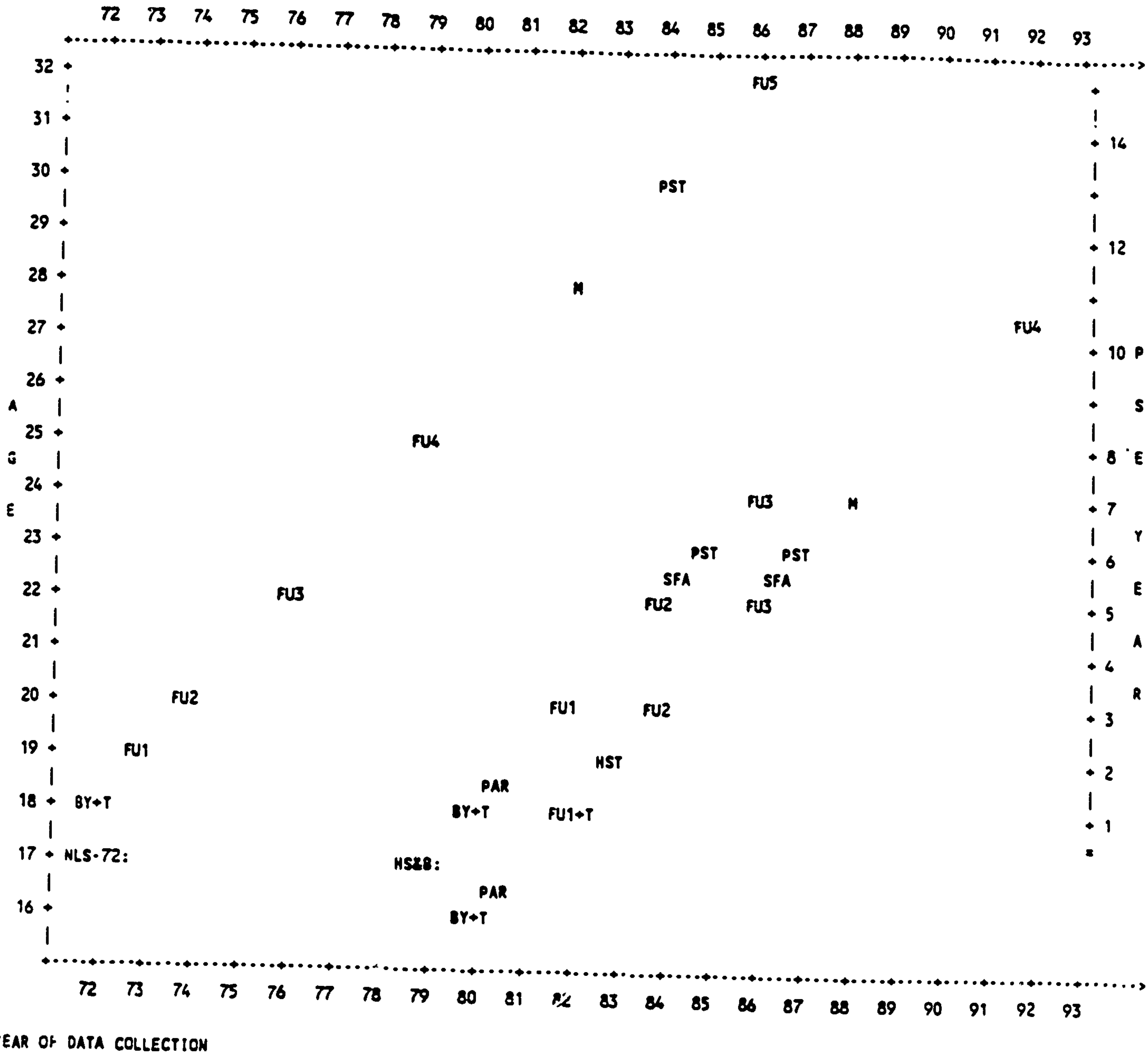
1.1.2 HS&B and NLS-72

High School and Beyond was designed to build on the NLS-72 in three ways. First, the base year survey of HS&B included a 1980 cohort of high school seniors that was directly comparable with the 1972 cohort. Replication of selected 1972 student questionnaire items and test items made it possible to analyze changes that occurred subsequent to 1972 and their relationship to recent Federal policies and programs in education. Second, the introduction of a sophomore cohort provided data on the many critical educational and vocational choices made between the sophomore and senior years in high school, permitting a fuller understanding of the secondary school experience and its impact on students. Finally, HS&B expanded the NLS-72 focus by collecting data on a range of life cycle factors, such as family-formation behavior, intellectual development, and social participation.

1.2 History of High School and Beyond

1.2.1 The Base Year Survey

The base year survey was conducted in spring 1980. The study design provided for a highly stratified national probability sample of over 1,100 secondary schools as the first stage units of selection (Table 1-1). Substitutions were made for schools that refused to participate in the survey. Substitutions were only made within strata, and no substitution was made if a school was the only member



NLS-72 = National Longitudinal Study of the High School Class of 1972
BY = Base Year Data Collection
T = Cognitive Test Administration
FU1 = First Follow-Up Data Collection
FU2 = Second Follow-Up Data Collection
FU3 = Third Follow-Up Data Collection
HS&B = High School and Beyond: 1980
FU4 = Fourth Follow-Up Data Collection
FU5 = Fifth Follow-Up Data Collection
M = Maintenance of Address Data
PST = Postsecondary Education Transcripts
PAR = Survey of Parents
HST = High School Transcripts
SFA = Student Financial Aid Records

Figure 1-1. Research design for National Education Longitudinal studies

Table 1-1. High School and Beyond base year school sample selections

Special Strata (oversampled)	
Alternative public	50
Cuban public	20*
Cuban Catholic	10*
Other Hispanic public	106*
High performance private	12
Other non-Catholic private (stratified by four census regions)	38
Black Catholic	30*
Regular Strata (not oversampled)	
Regular Catholic (stratified by four census regions)	48
Regular public (stratified by nine census divisions; racial composition; enrollment; central-city, suburban, rural)	808
	1,122

*These schools were defined as those having 30 percent or more of enrollment from the indicated subgroup.

of its stratum (see the High School and Beyond Second Followup (1984) Sample Design Report for further sampling information). Table 1-2 presents the final school sample of 1,015 postsecondary schools after substitution.

In the second stage, 36 seniors and 36 sophomores were selected in each school (in schools with fewer than 36 students in either of these groups, all eligible students were included). Special efforts were made to identify sampled students who were twins or triplets so that their co-twins or co-triplets could be invited to participate in the study. (Data from nonsampled twins and triplets are not included in the student data files, but are available in a separate Twin Data File, which links questionnaire data from the base year and first followups for sampled and nonsampled twins for special analyses.) Over 30,000 sophomores and 28,000 seniors enrolled in 1,015 public and private high schools across the country participated in the base year survey. (Detailed information about the samples can be found in the HS&B sample design report for the base year: Martin R. Frankel, Luane Kohnke, David Buonanno, and Roger Tourangeau, Sample Design Report, Center for Education Statistics, 1981).

Table 1-2. High School and Beyond base year sample realization

Stratum	Stage 1: Sampling of Schools			
	Drawn in sample	Original schools*	Substituted schools	Total Realized
Regular public	808	585	150	735
Alternative public	50	41	4	45
Cuban public	20	11	--	11
Other Hispanic public	106	72	30	102
Regular Catholic	48	40	5	45
Black Catholic	30	23	7	30
Cuban Catholic	10	7	2	9
High performance private	12	9	2	11
Other non-Catholic private	38	23	4	27
TOTAL	1,122	811	204	1,015

*Includes additional selections made when schools were found to be out-of-scope.

Certain types of schools were oversampled to make the study more useful for policy analyses. These included:

- Public schools with high percentages of Hispanic students to ensure sufficient numbers of Cuban, Puerto Rican, and Mexican students for separate analyses;
- Catholic schools with high percentages of minority group students;
- Alternative public schools; and
- Private schools with high-achieving students.

The Hispanic supplement to the sample was funded jointly by the Office of Bilingual Education and Minority Language Affairs (OBEMLA) and the Office for Civil Rights (OCR) within the Department of Education. An additional supplementary sample was drawn from students attending Department of Defense Dependents Schools (DoDDS) located overseas. DoDDS students are not included in the data tapes distributed by CES, however.

Survey instruments in the base year included:

- A sophomore questionnaire;
- A senior questionnaire;
- Student identification pages;
- A series of cognitive tests for each cohort;
- A school questionnaire;
- A teacher comment checklist; and
- A parent questionnaire (mailed to a sample of parents from both cohorts).

The student questionnaires focused on individual and family background, high school experiences, work experiences, and plans for the future. The student identification pages included information that would be useful in locating the students for future followup surveys, as well as a series of items on the student's use of, proficiency in, and educational experiences with languages other than English.

The cognitive tests measured verbal and quantitative abilities in both cohorts. In addition, the sophomore test battery included achievement measures in science, writing, and civics, while seniors were asked to respond to tests measuring abstract and nonverbal abilities. Of the 194 test items administered to the HS&B senior cohort in the base year, 86 percent were identical to items that had been given to the NLS-72 base year respondents.

School questionnaires, which were filled out by an official in each participating school, provided information about enrollment, staff, educational programs, facilities and services, dropout rates, and special programs for handicapped and disadvantaged students. The teacher comment checklist provided teacher observations on students participating in the survey. The parent questionnaire elicited information about how family attitudes and financial planning affected postsecondary educational goals.

1.2.2 First Followup Sample

The first followup sample consisted of approximately 30,000 1980 sophomores and 12,200 1980 seniors. It retained the multistage, stratified, and clustered design of the base year sample. All students who had been selected for inclusion in the base year survey, whether or not they actually participated, had a chance of being included in the first followup sample. Unequal probabilities were compensated by weighting. A subsample of senior and sophomore students was selected from among the base year participants. This subsampling was carried out to ensure adequate analytic power to address policy issues in areas such as excellence in education, access to postsecondary education, need for financial aid, and the impact of education on career choices.

1.2.3 Second Followup Sample

The sample design for the 1980 senior cohort second followup survey was the same as that used for the first followup. Survey activities were initiated for all individuals who had participated in the first followup except for eleven persons who were known to be deceased.

The sample design for the 1980 sophomore cohort second followup was based on the high school transcript study conducted between the first and second followups. During the fall of 1982, high school transcripts were sought for a probability subsample of nearly 18,500 members of the 1980 sophomore cohort. The subsampling plan for the transcript study emphasized the retention of members of subgroups of special relevance for education policy analysis. Compared to the base year and first followup, the transcript study sample design further increased the overrepresentation of racial and ethnic minorities (especially those with above average HS&B achievement test scores), students who attended private high schools, school dropouts, transfers and early graduates, and students whose parents participated in the base year parents survey on financing postsecondary education. Transcripts were collected and processed for nearly 16,000 members of the sophomore cohort.

The sample for the second followup survey of the 1980 sophomore cohort was composed of approximately 15,000 cases selected from among the 18,500 retained for the transcript study. Like the second followup sample for the senior cohort, that for the sophomore cohort includes disproportionate numbers of sample members from policy-relevant subpopulations (e.g., racial and ethnic minorities, students from private high schools, high school dropouts, and students who planned to pursue some type of postsecondary schooling).

1.2.4 Third Followup Sample

The third followup sample consisted of the same persons selected for the second followup survey.

1.3 Related Studies and Data Files

In addition to the core surveys described above, records studies have been undertaken, including the collection of the high school transcripts of the sophomore cohort and the collection of postsecondary education transcripts and financial aid data for the seniors. Data files for these studies and other HS&B data, such as parent surveys, school surveys, teacher comments, etc., are described below. Users' manuals or other forms of documentation are available from CES for all data files. These auxiliary data files greatly expand the analytic capabilities of the core data sets.

1.3.1 Base Year Files

The Language File contains information on each student who during the base year reported some non-English language experience either during childhood or at the time of the survey. This file contains 11,303 records (sophomores and seniors combined), with 42 variables for each student.

The Parent File contains questionnaire responses from the parents of about 3,600 sophomores and 3,600 seniors who are on the Student File. Each record on the Parent File contains a total of 307 variables. Data on this file include parents' aspirations and plans for their children's postsecondary education.

The Twin and Sibling File contains base year responses from sampled twins and triplets; data on nonsampled twins and triplets of sample members; and data from siblings in the sample. This file (2,718 records) includes all of the variables that are on the HS&B student file, plus two additional variables (family ID and SETTYPE--type of twin or sibling).

The Sophomore Teacher File contains responses from 14,103 teachers on 18,291 students from 616 schools. Teachers had the opportunity to answer questions about HS&B-sampled students who had been in their classes. The typical student in the sample was rated by an average of four different teachers.

The Senior Teacher File contains responses from 13,683 teachers on 17,056 students from 611 schools. Teachers had the opportunity to answer questions about HS&B-sampled students who had been in their classes. The typical student in the sample was rated by an average of four different teachers.

The Friends' File contains identification numbers of students in the HS&B sample who were named as friends of other HS&B-sampled students. Each record contains the ID of sampled students and IDs of up to three friends. Linkages among friends can be used to investigate the sociometry of friendship structures, including reciprocity of choices among students in the sample, and to trace friendship networks.

1.3.2 Merged Base Year, First, Second, and Third Followup Files

The First Followup Sophomore File contains responses from 29,737 students and includes both base year and first followup data. This file includes information on school, family, work experiences, educational and occupational aspirations, personal values, and test scores of sample participants. Students are also classified as to high school status as of 1982 (i.e., dropout, same school, transfer, or early graduate).

The First Followup Senior File contains responses from 11,995 individuals and includes both base year and first followup data. This file includes information from respondents concerning their high school and postsecondary experiences and their work experiences.

The Second Followup Sophomore File has all base year, first followup, and second followup data for 14,825 members of the sophomore cohort. Data cover work experience, postsecondary schooling, earnings, periods of unemployment, and so forth, for the sophomore cohort, who by this time had been out of high school for two years.

The Second Followup Senior File encompasses all base year, first followup, and second followup data for the 11,995 individuals who constitute this followup sample. Data cover work experience, postsecondary schooling, earnings, periods of unemployment, and so forth, for the senior cohort, who by this time had been out of high school for four years.

The Third Followup Sophomore File contains all data from the base year through third folowup for the 14,825 members of this cohort. Due to increased interest in event history analysis, the third followup collected more detailed information on time periods during which respondents held jobs or attended school.

The Third Followup Senior File contains all data from the base year through third followup for the 11,995 individuals in this cohort. Due to increased interest in event history analysis, this followup collected more detailed information on time periods during which respondents held jobs or attended school.

1.3.3 Other HS&B Files

The High School Transcript File describes the course taking behavior of 15,941 sophomores of 1980 throughout their four years of high school. Data include a six-digit course number for each course taken, along with course credit, course grade, and year taken. Other items of information, such as grade point average, days absent, and standardized test scores, are also contained on the file.

The Offerings and Enrollments File contains school information, course offerings, and enrollment data for 957 schools. Each course offered by a school is identified by a six-digit course number. Other information, such as credit offered by the school, is also contained on each record.

The Updated School File contains base year data (966 completed questionnaires) and first followup data (956 completed questionnaires) from the 1,015 participating schools in the HS&B sample. First followup data were requested only from those schools that were still in existence in the spring of 1982 and had members of the 1980 sophomore cohort currently enrolled. Each high school is represented by a single record that includes 230 data elements from the base year school questionnaire, if available, along with other information from sampling files (e.g., stratum codes, case weights).

The **Postsecondary Education Transcript File** for the HS&B Seniors contains transcript data on dates of attendance, fields of study, degrees earned, and the titles, grades, and credits of every course attempted at each school attended, coded into hierarchical files with the student as the highest level of aggregation. Although no survey forms were used, detailed procedures were developed for extracting and processing information from the postsecondary school transcripts that were collected for all members of the 1980 senior cohort who reported attending any form of postsecondary schooling in the first or second followup surveys. (Over 7,000 individuals reported over 11,000 instances of school attendance.)

The **Senior Financial Aid File** contains financial aid records from postsecondary institutions respondents reported attending and Federal records of the Guaranteed Student Loan Program and of the Pell Grant program. The HS&B HEGIS and PSVD File contains the postsecondary school codes for schools HS&B respondents reported attending in the first and second followups. In addition, the file provides data on institutional characteristics, such as type of institution, highest degree offered, enrollment, admissions requirements, tuition, and so forth. This file permits analysts to link HS&B questionnaire data with institutional data for postsecondary schools attended by respondents.

1.3.4 NLS-72 Files

The **NLS-72 Base Year Through Fourth Followup** (1979) File contains data from the base year through fourth followup for over 23,000 respondents. Data include school experiences and test results during the base year and subsequent activities related to work, postsecondary schooling, military service, family formation, and goals and aspirations.

The **NLS-72 Fifth Followup** File consists of the results of the fifth followup survey, carried out in 1986, when sample members were about 32 years old. Data include work experience going back to 1979, postsecondary schooling, extensive family formation history, periods of unemployment, goals and aspirations, and selected attitudes. Records in this file can be linked through student ID to those in the NLS-72 Base Year Through Fourth Followup (1979).

The **NLS-72 Teacher Supplement** File contains the responses of the portion of the fifth followup NLS-72 sample who had obtained teacher certification and/or had teaching experience. Data include certification history, subjects taught, years of experience, attitudes toward teaching as a career, and subsequent work experiences of those who had left teaching. These data can be linked through the respondent ID to the NLS-72 Fifth Followup File and to the NLS-72 Base Year Through Fourth Followup File.

The Postsecondary Education Transcript Study of the NLS-72 Sample contains transcript data on dates of attendance, fields of study, degrees earned, and the titles, grades, and credits of every course attempted at each school attended, coded into hierarchical files with the student as the highest level of aggregation. Although no survey forms were used, detailed procedures were developed for extracting and processing information from the postsecondary school transcripts that were collected in 1984 for all members of the NLS-72 cohort who reported attending any form of postsecondary schooling in any of the first through fourth followup surveys. (Over 14,000 individuals reported over 24,000 instances of school attendance).

1.4 Eligibility of HS&B Senior and Sophomore Cohort Members for FAS

All 11,995 members of the High School and Beyond senior cohort followup sample were eligible for inclusion in each of the FAS data collection efforts. However, whether a student was actually included in a particular FAS data collection effort depended upon the presence of certain essential information on the student. For the collection of records from a student's postsecondary institution(s), it was necessary to have a usable list of postsecondary institutions attended by the student from the first and/or second followup surveys. For the collection of GSL and Pell records, it was necessary to have a Social Security number for the sample member.

The actual number of HS&B senior and sophomore cohort followup sample members eligible for FAS data collection activities were as follows:

FAS Activity	Number of Senior Cohort Members	Number of Sophomore Cohort Members
Request financial aid records from postsecondary schools attended by student (students who reported names of postsecondary schools)	7,776	N/A
Search GSL and Pell central records for financial aid disbursement to student (students who reported a usable Social Security number)	10,708	10,026
Request annual GSL disbursement amounts from GSL Guarantee Agencies covering student's home state, state(s) of postsecondary attendance, or state of driver's license (students who reported a usable Social Security number)	10,708	10,026

Eligibility was independently determined for each of these FAS activities. In other words, if a student did not report attending any postsecondary schools but did report a Social Security number, an attempt was made to find GSL and Pell records for that student. Likewise, if a student did not report a Social Security number but did report attending one or more postsecondary schools, school financial aid records were requested for that student by providing other identifying information to the school such as name and birth date.

Of the 14,825 High School and Beyond sophomore cohort second/third followup sample, 10,026 were identified as eligible for inclusion in FAS. The two eligibility criteria were that a Social Security number had been reported by the student (in either the base year or any followup survey) and that the student had reported attending a postsecondary institution in any of the followup surveys.

1.5 Quality and Consistency of FAS Data

The data contained in the FAS files is intended to reflect the original source. Therefore, data values that are apparently erroneous will sometimes appear on the file. Sometimes these apparent errors are, in fact, errors contained in the original source data. In other cases, data that are apparently erroneous may be explained. For example, it is possible for a student to obtain two GSL loans for two different academic years within the same Federal fiscal year. Because the GSL tapedump system reports data on a fiscal year basis, the student's record would record the total of the two academic loans and it would appear that the student may have exceeded the loan limit when, in fact, the loans were for two different academic years.

In order to avoid the introduction of bias or additional errors into the data, and in order to allow analysts the fullest amount of information as it was received from the original sources, NO CHANGES HAVE BEEN MADE TO THE DATA RECEIVED FROM THE ORIGINAL SOURCE, EXCEPT WHERE THE ORIGINAL SOURCE DATA REQUIRED A CHANGE IN ORDER TO BE PROCESSED (e.g., an alpha character appearing in a numeric dollar amount.) File users are advised to carefully examine frequency distributions and other measures prior to using the variables for analysis.

The FAS data files include data obtained from the various sources without reconciliation of data between sources. This means that data obtained for a student from different sources, such as a GSL loan amount obtained from a GSL capedump file and a GSL guarantee agency file, may not agree. Such disagreements could be caused by reporting error, differences in fiscal time periods being reported, missing information in source records, variations in definitions (e.g., loan amounts approved versus amounts disbursed), etc.

The FAS data files have been constructed with the aim of accurately reporting information as it was obtained from the various sources. NO ATTEMPT HAS BEEN MADE TO RECONCILE OR EDIT THE DATA IN ORDER TO GUARANTEE CONSISTENCY BETWEEN SOURCES. Therefore, FAS data users are advised to give careful consideration to possible differences in data reported by multiple sources when formulating their analysis plans.

When constructing the FAS data files, some data were recoded into standardized form to facilitate analytic use of the files. Dates have been converted to a common format consisting of a two digit year (YY), such as 84 for 1984, followed by a two digit month (MM), such as 05 for May. This permits the proper sorting and comparison of dates without making the user contend with the variety of formats in which dates were originally reported. For dollar amounts, cents have been dropped leaving only the whole dollar amount wherever this does not seriously affect values, as in amounts of financial aid.

Users of FAS data files should be aware of the difference between fiscal year and academic year periods. Wherever a fiscal year is referred to in FAS data files, the period is the Federal fiscal year which runs from October 1 through September 30. The GSL Record Dump Extract File and the Pell Grant Disbursement File contain records for fiscal years, as indicated by the variable RECFLAG. The GSL Guarantee Agency Disbursement File contains data for academic years, defined as July 1 through June 30. In this file there are different variables for each of the academic years.

1.6 Financial Aid Supplement (FAS) Weights

As its name implies, FAS is a study designed to supplement existing High School and Beyond data with additional information derived from financial aid records. Thus, the appropriate use of FAS data is in conjunction with HS&B survey data for the same students. For this reason, weights do not appear on the FAS files, nor are weighted frequencies reported in the file documentation. FAS data are appropriately used by merging desired variables onto HS&B sophomore cohort data files, using the student ID variable. Weighted analyses can then be produced using the appropriate weight found on the HS&B data file.

2. INSTITUTION FINANCIAL AID RECORDS SURVEY (SENIOR COHORT)

The Institution Financial Aid Records Survey was designed to collect financial aid data for students included in the High School and Beyond (HS&B) Senior Cohort directly from the postsecondary institutions they attended. If, during the HS&B student surveys, a student in the senior cohort reported attending a postsecondary institution, financial aid data was sought from that institution.

Since a student might have attended more than one postsecondary institution during the four years following high school, all institutions the student reported attending were included in the survey. Therefore, records were sought for each student/institution combination. For data collection purposes, these combinations were grouped by institution to ensure that an institution would be contacted only once. At the end of the survey, the collected financial aid information was grouped by student so that financial aid data could be easily linked to other HS&B data. The survey sought data for 11,458 student/institution combinations which included 7,776 students and 2,690 different institutions.

In the following sections, the data collection, data preparation, and processing tasks completed during the survey are discussed.

2.1 Data Collection

Data Collection for the Institution Financial Aid Records Survey included all activities associated with obtaining financial aid data for each of the student/institution combinations included in the survey. The first step in this process was the development of the Data Collection and Processing Plan (Appendix A). This plan was prepared by Westat, using the pretest experience of NORC as a guide. The plan includes a description of procedures to be followed for all data collection, preparation, and processing operations.

The data collection efforts resulted in a response rate of 98 percent for both schools and student/institution combinations. The responses obtained by status appear in Table 2-1.

2.1.1 Request Package Materials Development

The first step in data collection was the preparation of a financial aid record request package for each institution included in the study. The purpose of this package was to introduce the study, request the institution's participation, identify the sampled students, and provide the necessary materials and instructions. All materials were included in a study folder which listed the professional organizations endorsing the study. Copies of the

Table 2-1. School and student response rates

Receipt Status	Number of Schools	Number of Student Institution Combinations
Complete by Mail..............	2,274	10,364
Complete by Phone.............	283	803
Refused.......................	27	141
Closed........................	18	30
Other Ineligible..............	52	72
Not received..................	36*	48
Total.........................	2,690	11,458
Response Rates**..............	98%	98%

*Of these schools, 33 were located outside the United St~tes and were not contacted by telephone.

**Response rates are calculated based on the number of eligible schools (N = 2,620) and eligible student/institution combinations (N = 11,356)

request package materials appear in Appendix B and consist of the following items:

- **Cover Letter** introducing the study, signed by the Westat project director;

- **NCES Letter** citing the Family Education Rights and Privacy Act (FERPA) which allows the release of records to the Secretary of Education or to his agent without the prior consent of the survey participants. Included on the back of this letter was a copy of the relevant sections of FERPA;

- **Endorsement Letter** from the National Association of Student Financial Aid Administrators;

- **NLS Pamphlet** describing the National Longitudinal Studies Program;

- **Instructions Sheet** outlining step-by-step instructions for completing the request;

- **Copy Reimbursement Form** printed on two-part NCR paper for use by financial aid officers to request reimbursement;

- **Student Checklist** produced by computer which identified the students for whom financial aid records were being requested;

- **Disclosure Notice** for each student to be placed in the student's file documenting the reason records were released;

- **Sample Student Financial Aid Form** which listed the financial aid information requested and could be used to submit the data to Westat. Enough sample forms were included for each student;

- **Student Labels** containing the HS&B ID number and name of the student. These labels were placed on the Sample Forms or financial aid record copies by the respondent to aid Westat in identifying each student's records; and

- **Business Reply Envelope** for returning the completed materials to Westat.

Materials for the request package were developed and tested during the study field test. Based on the results of the field test, modifications were made to materials for the main study. One major modification to materials involved redesign of the Student Checklist. The checklist used during the field test (see Exhibit 2-1) instructed respondents to make notations in the "COMMENTS" section if financial aid records could not be provided for a student. Many respondents, however, did not follow these instructions and either did not indicate a reason, or did not return the checklist at all. For these cases, it was impossible to determine whether all the relevant financial aid records had been received from a school.

The checklist used during the main study (see Exhibit 2-2) requests that the respondent indicate whether or not the student attended school or received financial aid for each year included in the study. This revised form worked very well and was completed and returned by almost all respondents. In addition, the information on whether aid was received for each year was used to determine whether all financial aid records had been obtained for each student.

The Sample Student Financial Aid Form was modified to include space for student costs, resources, and estimated need. During the

Exhibit 2-1. Pretest student checklist

[redacted]

[redacted] COLLEGE

HIGH SCHOOL AND BEYOND
FINANCIAL AID RECORDS PILOT STUDY
STUDENT CHECKLIST - 002 STUDENT(S)

NORC
9/83

INSTRUCTIONS: Please return financial aid records for the student(s) listed below. (See step-by-step instructions for details.) If you are unable to provide a student's record, please state the reason in the "COMMENTS" column next to the student's name (e.g., "not enrolled in 1981-82 - no record for that year," "did not receive financial aid during any year"). Return this checklist with financial aid records, retaining the second copy of the checklist for your records.

NORC OFFICE USE ONLY					
STUDENT ID	DISP	STUDENT NAME	SOCIAL SECURITY NUMBER	BIRTHDATE	COMMENTS
001) 230264-1		[redacted] KEVIN ROBERT	[redacted]	07/27/62	
002) 346970-9		[redacted] LAURENCE	[redacted]	05/22/62	

Exhibit 2-2. Student checklist

ID #

NAME OF SCHOOL

NUMBER OF SAMPLED STUDENTS : 002

HIGH SCHOOL & BEYOND - FINANCIAL AID RECORDS STUDY
STUDENT CHECKLIST

INSTRUCTIONS: The students listed below reported attending your school during 1980-84. Please indicate the students' enrollment status and receipt of financial aid during each of these years. For each year that a student received aid, please send his/her financial aid information to Westat, according to the enclosed instructions. Separate the two copies of this checklist, return one copy to Westat and retain the second copy.

STUDENT IDENTIFICATION	ACAD YEAR	IN SCHOOL? YES	IN SCHOOL? NO	REC'D AID? YES	REC'D AID? NO	COMMENTS
001	80-81					
LAST NAME :						
FIRST NAME:	81-82					
ALT NAME :						
SOC SEC NO:	82-83					
BIRTHDATE :						
HS&B ID :	83-84					
002	80-81					
LAST NAME :						
FIRST NAME:	81-82					
ALT NAME :						
SOC SEC NO:	82-83					
BIRTHDATE :						
HS&B ID :	83-84					

field test, respondents were instructed to supply this information, but since categories were not included on the sample form, many respondents did not. Also, categories were added to the form for the main types of "Other" financial aid reported during the field test.

Included in the Instruction Sheet were three suggested methods for supplying the requested data to Westat: transcribe information onto a Sample Student Financial Aid Form or separate sheet of paper, photocopy student records, or produce a computer printout containing the requested items. Since the number of sampled students at most schools was small (40 percent of the schools had only one sampled student, 80 percent had five students or fewer, and 90 percent had ten or fewer), it was expected that many respondents would choose to use the sample form to report data. Therefore, a copy of the form was included for each sampled student in the school. As expected, only a small number of schools chose to supply information by photocopying records, and none of the schools chose to produce a computer printout. This widespread use of the sample form facilitated the processing of data by providing a standard format that did not require transcription of records. In addition, extraction of data from student records was performed by each school's financial aid staff who were more familiar with their own school's records than was Westat's staff.

2.1.2 Request Package Mailout

Materials for the request package mailout were produced using two computer files supplied to Westat by NORC. The first file contained institution name and address information. The second file contained a record for each student/institution combination (11,458 combinations) containing student-identifying information. The student/institution combinations were the data collection units used for the High School and Beyond Financial Aid Study.

During the week of November 19-26, 1984, request packages were mailed to the 2,690 postsecondary institutions included in the study. Request packages were assembled according to the instructions included in Appendix C. The mailout supervisor monitored all activities and spot-checked packages assembled by each clerk.

2.1.3 Receipt Control

The purpose of the receipt control operation was to maintain records of the results of each data collection activity. All receipt control information was maintained in the computerized data management system. The Receipt Control Manual (Appendix D) contains the specific procedures followed during the study and a description of the management system. The manual includes instructions for handling each of the following receipt control steps: receipt of financial aid record packages, receipt of postmaster returns, completed telephone followup, transmittals to and from data retrieval, and transmittals to and from key entry. Each of these receipt control activities is described below.

As a financial aid record package was received, the receipt control clerk checked the contents for completeness. The clerk first checked that the Student Checklist was enclosed. For each student identified on the checklist as having received financial aid, the clerk checked that financial aid records were included in the package. If any information was missing, the case was considered to be "partial complete". Next, the apprcpriate status code was entered into the management system. It should be noted that followup for partial complete cases was not conducted until after the cases had been coded. Since additional problems might be identified during coding, this procedure ensured that only one data retrieval followup call would be made to an institution.

When a package was returned by the post office , undeliverable, followup was conducted to determine whether the schooi had moved to a new address or had closed. The sources used to track postmaster returns included: The HEP 1984 Higher Education Directory, Chronicle Two-Year College Databook, Chronicle Four-Year College Databook, long distance directory assistance, and telephone calls to the previous telephone number of the school.

For each wave of nonresponse followup (as discussed in section 2.1.4), the cases requiring followup were identified from the receipt control management system. As each followup file was created, the appropriate followup code was automatically entered into the management system. As followup was completed, the result of each followup call was entered in the system by the receipt control clerk. In addition, if a respondent requested that the package be remailed to the institution the clerk entered the financial aid administrator's name, title, and address into the system. Thus, mailing labels could be generated to remail the package directly to the administrator by name.

When the coding staff determined that a case required data-retrieval followup, the school folder was returned to receipt control. The receipt control clerk then entered the appropriate data-retrieval followup code in the management system. Cases were sent to the telephone center in batches along with a transmittal listing generated from the management system. As . ollowup was completed, the cases were returned to receipt control where the followup results were logged.

When the coding staff determined that a case was ready for key entry, the school folder was returned to receipt control. The clerk logged the key entry batch number into the management system and sent the batch to data entry along with a transmittal listing. When the batch was completed, the receipt control clerk checked the cases against the listing to verify that all forms had been returned.

In addition to maintaining records, the management system was used to generate data collection status reports. During each followup wave, these reports were used to monitor both receipt of forms and the progress of the telephone followup effort. A sample of the data collection status report appears in Exhibit 2-3.

2.1.4 Nonresponse Followup

Nonresponse followup was conducted by telephone in three waves. The first and second waves consisted of reminder calls to the financial aid offices. The third followup wave involved collecting financial aid information by telephone.

All nonresponse followup activities were conducted in Westat's Telephone Research Center (TRC) by experienced telephone interviewers. Before being assigned to the study, each interviewer successfully completed the Westat general interviewer training. This training included audio-visual presentations and instructions for using a written manual on general telephone interviewing techniques and Telephone Center administrative procedures.

For each followup wave, a training session was held for TRC staff. To prepare for this training, interviewer training manuals and telephone scripts were produced. The training manuals for each wave appear in Appendices E, F, and G. These manuals contain background information about the study, step-by-step instructions for completing the interview, and a description of telephone administrative procedures for the study. The script was used as a guide by the interviewers and assured that cases were handled consistently.

Each telephone training session was conducted using three basic techniques: (1) interactive lecture to the group; (2) mock interviews; and (3) dyad role playing. During the lecture phase, all procedures were presented and questions were answered as they arose. Next, with the trainer acting as respondent, each trainee conducted a mock interview. After the mock interviews, role plays were conducted in pairs, or dyads. Each pair of trainees completed two scripted interviews, alternating the role of interviewer and respondent. The respondent was given a script containing possible answers and comments to be used for each question, while the other trainee acted as interviewer and completed a blank script. The purpose of the role plays was to provide additional practice with the script and allow the trainees to get a feel for the flow of the interview without interruption. Throughout the training, emphasis was placed on encouraging respondent cooperation. Questions that the respondent might ask were presented and reviewed, along with the possible answers to such questions.

Throughout each followup activity, the interviewers were closely monitored by project staff and TRC supervisors. Any problems were discussed with the interviewer. In addition, all completed scripts were reviewed by the receipt control staff for inconsistencies or missing information. Any problems were discussed with the interviewers and corrected.

Exhibit 2-3. Receipt control status report

DATE: 03/29/85

FINANCIAL AID RECORDS STUDY

RECEIPT CONTROL STATUS REPORT

TOTAL TO DATE

TELEPHONE FOLLOWUP STATUS	RECEIPT STATUS								
	COMPLETE MAIL	COMPLETE PHONE	PARTIAL COMPLETE	REFUSED	CLOSED	POSTMASTER RETURN	OTHER INELIGIBLE	NOT RECEIVED	TOTAL
NOT IN CASELOAD	785	0	77	3	9	7	32	34	947
AGREED TO SEND	874	2	73	2	0	0	9	161	1121
REMAIL 1	294	0	19	2	0	17	3	97	432
REMAIL 2	33	0	3	0	0	18	0	55	109
REFUSED	0	0	0	0	0	1	0	21	22
CLOSED	0	0	0	0	0	0	0	0	0
OTHER INELIGIBLE	10	3	1	0	0	1	2	36	53
NO ACTION	0	0	0	0	0	0	0	o	6
TOTAL	1996	5	173	7	9	44	46	410	2690

DOWN COUNTER TOTAL = 2690

Exhibit 2-3. Receipt control status report (continued)

FINANCIAL AID RECORDS STUDY

PAGE 2

RECEIPT CONTROL STATUS REPORT

SCHOOLS AND STUDENTS BY RECEIPT STATUS OF SCHOOL

TELEPHONE FOLLOWUP STATUS	RECEIPT STATUS								
	COMPLETE MAIL	COMPLETE PHONE	PARTIAL COMPLETE	REFUSED	CLOSED	POSTMASTER RETURN	OTHER INELIGIBLE	NOT RECEIVED	TOTAL
NUMBER OF SCHOOLS	1996	5	173	7	9	44	46	410	2690
NUMBER OF STUDENTS	8645	7	717	28	9	68	65	1919	11458

25

Exhibit 2-3. Receipt control status report (continued)

FINANCIAL AID RECORDS STUDY

RECEIPT CONTROL STATUS REPORT

THIRD TELEPHONE FOLLOWUP ONLY

TELEPHONE FOLLOWUP STATUS	RECEIPT STATUS								
	COMPLETE MAIL	COMPLETE PHONE	PARTIAL COMPLETE	REFUSED	CLOSED	POSTMASTER RETURN	OTHER INELIGIBLE	NOT RECEIVED	TOTAL
NOT IN CASELOAD	81	0	14	1	0	3	5	0	104
AGREED TO SEND	257	2	31	0	0	0	5	161	456
REMAIL 1	76	0	4	2	0	0	1	93	176
REMAIL 2	28	0	3	0	0	0	0	55	86
REFUSED	0	0	0	0	0	0	0	21	21
CLOSED	0	0	0	0	0	0	0	0	0
OTHER INELIGIBLE	10	3	1	0	0	1	2	36	53
NO ACTION	0	0	0	0	0	0	0	6	6
TOTAL	452	5	53	3	0	4	13	372	902

WN COUNTER TOTAL = 902

The first followup effort was begun in December 1984 to coincide with the requested return date identified in the financial aid record request package mailed in November. The schools that could not be contacted during December were called after the winter break, in January. The second followup wave was conducted during January and February, and the third wave was conducted from April through June, 1985. The school response rates achieved for each followup wave are presented in Table 2-2. Each of the three waves is discussed in detail in the following sections.

- **First Followup**

The purposes of the first nonresponse followup effort were to determine whether the financial aid request package had been received at the school, to answer any questions or problems the respondent might have, and to record the name of the person at the school who would be completing our request. Westat recommended beginning this followup on the same day as the return date listed in the request package (December 14). Although this recommended date meant that followup was initiated before returns by mail had begun to decrease, there were several reasons why this was determined to be the best approach. Based on pretest experience, it was expected that there would be a large number of remail requests. It was important that schools requiring a package remail be identified early in the data collection period. Also, in order to contact schools before the winter break, followup needed to begin in mid-December. The alternative to this approach would have been to start followup after the winter break, in mid-January. This alternative was not considered practical because schools would not be contacted until a month after the requested return date. Therefore, CES agreed that the first followup should begin on December 14.

During this followup effort, it was emphasized that we were not calling because the forms were late, but rather to verify that the request package had reached the correct respondent, and to determine the respondent's name and title. As expected, a number of schools requested that a package be remailed. Of the schools contacted during the first followup, 60 percent had received the package and agreed to complete the request, 38 percent requested a remail, less than 1 percent refused, and 2 percent were determined to be ineligible.

- **Second Followup**

The purposes of the second nonresponse followup call were to encourage response by mail, answer any questions the respondent might have, and verify that the second package had been received by those who had requested a second package. During this call, the interviewer asked whether the respondent could foresee any problem in completing the request within two weeks. If there was a problem, the interviewer recorded a summary of the problem and determined when the respondent expected to complete the request. Of the schools contacted during the

Table 2-2. School response rates by data collection activity

Data Collection Task	Complete and Partial Complete	
	Number	Response Rate*
Initial Mailout..............	674	26%
First Followup................	973	37%
Second Followup..............	540	21%
Third Followup................	370**	14%
Total........................	2,557	98%

*Response rates are based on the number of eligible schools (N = 2,620).

**Of these cases, 283 were completed by telephone and 87 were received by mail during the third followup effort.

second followup, 80 percent had received the package and agreed to complete the request, 11 percent requested a second remail, 3 percent refused, and 7 percent were determined to be ineligible.

- Third F ow ıp

While the first two followup efforts were designed to encourage response by mail, the third followup involved collection of student financial aid data by telephone. During this contact, the telephone interviewer completed a Student Checklist for the school, and collected a Sample Student Financial Aid Form for each student who received aid during 1980-1984. Collecting this information often involved several calls to the school. During the first contact with a respondent, the interviewer would explain the purpose of the call, identify the students for whom data was being requested, and set an appointed time to call back. This gave the respondent time to pull the student files and gather the appropriate information before the interviewer called back to collect the data. During the third followup, 283 schools with 803 student/institution combinations were completed by telephone. These cases completed by telephone accounted for 11 percent of the overall school response rate of 98 percent, and

7 percent of the overall student/institution response rate of 98 percent.

2.1.5 Data Retrieval Followup

The purpose of data retrieval followup was to collect missing information and resolve data consistency problems. The same interviewers who conducted the third nonresponse followup also made the data retrieval calls. Therefore, they were trained and well-practiced in administering the Checklist and Sample Forms before beginning data retrieval followup. In addition, a data retrieval training session was held for TRC staff, using the Data Retrieval Manual which appears in Appendix H. This training session and manual were designed to familiarize the interviewers with the types of problems that they would be asking respondents to resolve.

2.2 Data Preparation and Processing

Data preparation and processing includes all activities associated with converting information from completed survey forms to final data files. The operations involved in this task include Coding and Manual Editing, Data Entry, and Machine Editing. Each of these operations is described in the following sections.

2.2.1 Coding and Manual Editing

Two types of coding operations were conducted: general and special. General coding was performed for schools that chose to use the Sample Student Financial Aid Forms to report student data. This type of coding involved transcribing data from the Student Checklist onto individual Student Coding Forms, and performing edit checks on the checklist and sample form information. The second type of coding was conducted for schools that chose to return photocopies of financial aid records, instead of sample forms. For this type of coding, special procedures were developed for extracting data from student records and transcribing the information onto sample forms. All of the edit checks performed during general coding were also performed during the special coding operation. The procedures for each type of coding are explained in the following discussion.

- General Coding and Editing

The purposes of the general coding and editing operation were:

- To identify cases requiring data retrieval and prepare them for telephoning;

- To identify problem situations requiring coding decisions;

- To review completed data retrieval cases, recoding as necessary; and

- To prepare all questionnaires for data entry.

The first step in performing the coding operation was to produce a Coding and Editing Manual (Appendix I). The coding manual is the document that contains all questions and allowable responses, record layout information, and coding information; it is the primary guide used in the coding process. In addition, the coding manual contains all edit instructions for the manual edit operation. This manual was produced using a software system developed by Westat called COED (Codebook Editor). The COED system can format and print a coding manual, produce a COBOL machine edit program, and produce data file documentation. These three main functions of COED all use the same input file, called the COED source file. The source file contains information on all data items including variable names, column numbers, questions, and allowable codes. This source file is created at the beginning of the data processing operation and is updated as the study progresses.

Once the manual was developed, a training session was held consisting of interactive lectures and coding of practice survey forms. Practice forms were verified by the trainers as soon as they were coded, so that errors could be discussed and corrected. This technique allowed for an open discussion of problem areas, and enabled trainers to clear up areas of misunderstanding and to identify trainees who had particular problems.

Any problems or edit errors discovered during the coding operation were recorded on a coding problem sheet which was then attached to the survey forms, as described in the Coding Manual in Appendix I. These problem sheets were reviewed by the coding supervisor and project director who made decisions for handling problem cases. These decisions were distributed to the coding staff. A copy of the problems sheet resolutions appear in Appendix J.

- Special Coding

For schools that returned photocopied records instead of sample forms, special procedures were followed. These procedures involved extracting data from the student records and transcribing these data onto a sample form. When the sample forms had been completed for a school, the regular coding and editing procedures were followed.

All coders were first trained for general coding, then the coders who performed best were trained for special coding. A copy of the training manual used for special coding is included as Appendix K. The special coding manual was developed, based on pretest experience.

2.2.2 Data Entry

Coded survey forms were transmitted in batches to Westat's data entry facility, according to the receipt control procedures described in section 2.1.3. Forms were keyed to disk, following specifications programmed specifically for the study. These specifications included all skip patterns and zero-filling of numeric fields. Each batch was 100 percent key verified. After verification, each batch file was transmitted to Electronic Data Systems (EDS) where the machine edit programs were run.

2.2.3 Machine Editing

The purpose of the machine edit operation was to identify and correct errors on the survey data files. The types of errors corrected included respondent errors, coding errors, and data entry errors. All checks made during the manual editing were also made during machine editing. Thus any errors not identified manually were identified by computer. The steps involved in completing the machine edit operation included developing the edit programs, editing data batches, and performing final data file checks. The specific procedures followed for these steps are discussed below:

- Development of Edit Program

The machine edit specifications (Appendix L) include all checks needed to identify respondent, coding, and data entry errors. The types of checks contained in the edit specifications are:

a. Alpha versus numeric: This edit check consists of checking all fields in the data record to verify that pure numeric files contain no alphabetic or special characters.

b. Range check: These edit checks verify that each field contains only allowable codes.

c. Skip pattern check: These checks verify that all skip instructions on the form were followed correctly.

d. Data consistency check: These checks compare data in different fields within a record to ensure that consistent answers were given by the respondent.

e. Addition check: This type of check is used to verify that the total fields are correct.

The Westat COED system, as discussed in Section 2.2.1, was used to produce the COBOL machine edit program. All range and skip pattern checks were generated from the same source file used to produce the coding manual. Next, the remaining logic checks (for data consistency and addition errors) were added to the logic check file. The COED system then translated the range and logic checks into structured COBOL code to create the machine edit program.

- **Editing Data Batches**

When each survey batch was key entered and transmitted to EDS, the machine edit was run for that batch. The machine editor compared the error listing produced by the machine edit program against the survey forms. For data entry and coding errors, the editor obtained the correct data from the survey form and wrote the correction on an update sheet. Since most respondent errors and problem situations were identified and corrected during the manual edit operation, only a few of these errors appeared during machine editing. For these few cases, the procedures followed were the same as described for coding and editing (Section 2.2.1). When the correct information was obtained , the editor wrote the correction on an update sheet.

When an entire batch had been edited, all update sheets for that batch were keyed to produce an update file. These updates were then made to the batch data file and a new edit run. This cycle was continued until all errors for that batch were resolved.

- **Final Data File Checks**

When all errors had been resolved on every edit batch, the final machine edit step was begun. The purpose of these final checks were to ensure that the information contained in the receipt control management system corresponded to the final survey form data file. The specifications for the final edit checks appear in Appendix M. The management system file was matched to the survey form file to verify that: (1) all records on the survey form file appeared on the management file with a status of complete, and (2) all records on the receipt control file with a status of complete appeared on the survey form file. Any discrepancies were corrected and the files re-matched until no errors were found.

3. STATE GUARANTEE AGENCY GUARANTEED STUDENT LOAN RECORD COLLECTION (SENIOR AND SOPHOMORE COHORTS)

Student loan records for the senior and sophomore cohorts of the High School and Beyond Study student sample were collected from State Guarantee Loan Agencies or their agents in the 50 states and the District of Columbia. During data collection for the senior cohort, student sample file tapes containing the Social Security numbers of all 10,708 students in the senior cohort were prepared. These files were sent to the eleven largest agencies which searched disbursement records for the entire senior cohort. The remaining agencies were provided with hardcopy listings of students who had reported a permanent address or were attending school in the state. For the sophomore cohort, student sample file tapes with the Social Security numbers of the 9,159 sampled students were sent to all state agencies to be used to search for records. Thus, each agency was asked to search for records for the entire sophomore cohort sample.

State Guarantee Agencies were asked to provide annual loan disbursement amounts for each of the following academic years for those students for whom they had data:

Senior Cohort	Sophomore Cohort
1980-81	1982-83
1981-82	1983-84
1982-83	1984-85
1983-84	1985-86

The start and finish of academic years vary by educational institution. Information on GSL Guarantee Agency Disbursement Files are tabulated according to Federal fiscal years which run from October 1 of the calendar year through September 30 of the following calendar year.

The procedures followed for this data collection effort included recruitment of State Guarantee Agencies and subsequent appointment of a data request coordinator at each agency, a telephone contact to each coordinator, and a mailout of student sample files or listings containing student identifying information to be used for the records search. Thus, the objective of the records collection component of the study was for each agency to match their records against the student sample file. This was accomplished for all but two state agencies during data collection for the senior cohort and for all agencies during the sophomore cohort.

3.1 State Guarantee Loan Agency Recruitment

Chief officers of the State Guarantee Agencies were contacted and asked to authorize their agency's participation The listing of GSL agency chief officers was prepared for the senior cohort study and subsequently updated for the sophomore cohort study to reflect agency or personnel changes. Each agency was contacted by telephone to verify the name and mailing address of the chief officer of the organization. Also included on this list were names of previous contacts for the Higher Education Assistance Foundation (HEAF) and United Student Aid Funds (USAF). Verification of the state agencies for which HEAF and USAF hold records was obtained during this phase of the study.

A final state agency file containing the names and addresses of chief officers at all state GSL agencies, HEAF, and USAF, was produced and used to generate mailing labels and letters for the agency recruitment mailout.

The purpose of the mailout to chief officers was twofold. First, the mailing was designed to solicit their participation by informing them of the purpose of the study and the manner in which data were to be collected, and, secondly, to request that they appoint a coordinator who would be responsible for handling the data request.

The following materials were included in the initial mailout to all chief officers:

- A letter from the project director explaining the purpose of the study and the manner in which the data were to be collected (Exhibit 3-1);

- Two letters of endorsement from the Department of Education (Exhibits 3-2 and 3-3);

- A form and postage paid envelope for the GSL agency chief officer's use in providing the name of the coordinator appointed to handle the data request (Exhibit 3-4).

Sixty-eight percent of the state agencies responded to this request by mail. Those state agencies that did not respond by mail were contacted by telephone to obtain authorization and the name of a coordinator. During this process, we learned that in addition to those state agencies which contract with HEAF and USAF, three state agencies contracted with Cybernetics and Systems, Inc. A listing of all states maintaining records with these three corporations is contained in Appendix N.

3.2 Initial Coordinator Contact

Prior to the mailout of the student sample file tapes, each designated coordinator was contacted by telephone. This was done to verify the mailing address to which the tapes would be sent, and to avoid possible confusion on the part of coordinators who might not have been informed by their chief officers of the data request and their role in the study.

Exhibit 3-1. Letter to Chief Officers of State GSL Agencies

March 16, 1987

Dear Guarantee Agency Director:

I am writing to request your cooperation in providing Guaranteed Student Loan data for participants in the High School and Beyond study being conducted by the U.S. Department of Education.

Westat is conducting the financial aid component of this study for the Department of Education which involves the collection of GSL disbursements for four academic years. These data, obtained for the sophomore cohort of the High School and Beyond sample, will be aggregated to provide policy information at the national level. (You may be familiar with this study since guaranteed student loan data were collected for another cohort of students in the High School and Beyond study in 1985.)

We will be sending you a computer tape containing the social security numbers of about 9,500 students. Your agency will be asked to provide the annual disbursements over a four year period (1982-83, 83-84, 84-85, 85-86) for those students for whom you have data.

We will be happy to work directly with whomever you designate to handle this request. We have provided a form and a self-addressed envelope for your convenience in designating the individual to whom we should mail the tape and technical specifications for this data request.

We would appreciate the return of this form within the next 10 days. We will then contact your designee directly and move ahead with the data collection process.

Please feel free to contact Sheila Heaviside, our High School and Beyond survey manager, or me, if you have any questions. Sheila can be reached on our toll free number (800) 638-8985. Your cooperation will be greatly appreciated and will assure the success of this important study.

Sincerely,

James E. Smith

James E. Smith, Ph.D.
High School and Beyond Financial
Aid Supplement Project Director

Exhibit 3-2. Department of Education endorsement letter

UNITED STATES DEPARTMENT OF EDUCATION
WASHINGTON, D.C. 20202

March 16, 1987

Dear GSL Guarantee Agency Director,

The Office of Student Financial Assistance is cooperating with the Department's Center for Education Statistics to collect Guaranteed Student Loan data for individuals in the High School and Beyond study sophomore cohort. The Department has contracted with Westat, Inc., to collect these financial aid data.

As part of this effort, Westat will be sending you a tape containing the social security numbers of individuals for which your agency will be requested to report GSL amounts disbursed for each of the academic years 1982-83, 1983-84, 1984-85, and 1985-86. Detailed instructions will be provided with the tape. A toll free Westat number is included in the enclosed materials in case you or your staff have questions.

The grant of authority for collecting financial aid data is pursuant to the provision in the Family Education Rights and Privacy Act (FERPA) (20 U.S.C. 1232g), implemented by 34 CFR 99.31, that allows the release of records to the Secretary of Education or to his agent without the prior consent of the survey participants. The privacy of the information you are asked to supply to Westat will be protected, as required by FERPA.

We would appreciate your cooperation with Westat and the Center for Education Statistics in completing this data request and making this important student financial aid study a success.

Sincerely,

Carol Roberts
Chief, Guaranteed Student Loans Branch
Division of Policy and Program Development

Exhibit 3-3. Department of Education endorsement letter

UNITED STATES DEPARTMENT OF EDUCATION

OFFICE OF THE ASSISTANT SECRETARY
FOR EDUCATIONAL RESEARCH AND IMPROVEMENT

March 16, 1987

Dear Guarantee Agency Director:

The U.S. Department of Education Center for Education Statistics has contracted with Westat, Inc. to obtain Guaranteed Student Loan data for individuals in the High School and Beyond Survey. The overall purpose of this survey is to obtain individual data which can be aggregated to provide research and policy information at the national level.

In the next few weeks your office will be receiving a computer tape with social security numbers for which your agency may have annual GSL amounts. You will be requested to retrieve annual GSL amounts for these individuals, and to return the results of your search on computer tape. Detailed instructions and a toll free Westat number will be provided in case you have any questions about completing the requested information.

The grant of authority for collecting financial aid data is pursuant to the provision in the Family Education Rights and Privacy Act (FERPA) (20 U.S.C. 1232g), implemented by 34 CFR 99.31, that allows release of records to the Secretary of Education or to his agent without the prior consent of the survey participants. The privacy of the information you are asked to supply to Westat will be protected, as required by FERPA.

We would appreciate your cooperation with Westat in this important student financial aid study.

Sincerely,

C. Dennis Carroll

Dr. C. Dennis Carroll, Chief
Longitudinal Studies Branch

Exhibit 3-4. Data coordinator information form

HIGH SCHOOL AND BEYOND

a national longitudinal study for the 1980s

Sponsored by the Center for Education Statistics, U.S. Department of Education

Please provide the following information for the pers you have designated to handle the data request for the High School and Beyond Study. You may return this form in the envelope provided to:

Westat, Inc.
Sheila Heaviside
1650 Research Blvd.
Rockville, Md. 20850

NAME ______________________________

TITLE ______________________________

ORGANIZATION ______________________________

ADDRESS ______________________________

____

PHONE ______________________________

Calls to coordinators were begun as soon as the first authorization forms were returned by chief officers. This task was completed in approximately four weeks.

During the coordinator contact phase of the sophomore cohort study, one state agency reported that their data processing department would not be able to accommodate the request. Negotiations began immediately to reach agreement on a way in which data could be collected with reduced burden for the respondent agency. This agency agreed to manually search a subsample of the sophomore cohort and was sent a hardcopy listing of Social Security numbers for those students who reported residing or attending school in that state, or in a contiguous state. (During processing it was discovered that another state located no matches from their computer search and ultimately provided hardcopy data from a manual search of a subsample targeted for the state in a similar manner).

3.3 Mailout of Student Sample File Tapes to GSL Agencies

Once the agency coordinator had been contacted, the data request package was sent to the agency. The following materials were produced and included in the coordinator mailout:

- Student sample locator tape containing the Social Security numbers of all sampled students in the sophomore cohort (for the senior cohort study, eleven agencies were sent tapes, while the remaining agencies were sent listings of students who resided in or attended school in the state);
- Copies of the Department of Education endorsement letters;
- Letter explaining the purpose of the study and the manner in which data were being collected, tape documentation, and specifications;
- Tape Transmittal Form to be used by the coordinator to document the contents of the data tape they would be returning (Exhibit 3-5);
- Return postage-paid mailing label.

These materials were mailed on a flow basis immediately after the appointment and confirmation of coordinators. Thus, mailout was conducted over a four-week period.

3.4 Receipt Control and Processing of Tapes

Records of all receipt control activities were maintained on Respondent Information Sheets (RIS). These forms were produced for each state agency and HEAF, USAF, and CSI. Each form contained the identifying information for the agency and the name, address, and telephone number of the coordinator. Additionally, each agency

Exhibit 3-5. Tape Transmittal Form

HIGH SCHOOL AND BEYOND

a national longitudinal study for the 1980s

Sponsored by the Center for Education Statistics, U.S. Department of Education

TAPE TRANSMITTAL FORM

Please complete this form and return along with the computer tape to:

WESTAT
1650 Research Blvd.
Rockville, Md. 20850
Attn: Sheila Heaviside

Please provide the name and phone number of the best person to contact if we have difficulties reading this tape?

NAME: ______________________________

PHONE: ______________________________

Tape label: IBM Standard Label (SER=______) Non Labelled

Tape Density: 1600 BPI 6250 BPI (Circle one)

Character Set: EDCDIC ASCII (Circle one)

Record Format: (FIXED BLOCK ONLY)

Record Length: __________ Block Size: __________

Item	Length	Position
Social Security Number	______	______
Month of Birth	______	______
Year of Birth	______	______
Last Name	______	______
First Name	______	______
1982-83 Disbursement	______	______
1983-84 Disbursement	______	______
1984-85 Disbursement	______	______
1985-86 Disbursement		

Exhibit 3-5. Tape Transmittal Form, continued

Indicate codes and their meaning:

______ ______________________

______ ______________________

______ ______________________

______ ______________________

______ ______________________

Other Item(s):

______________ ________ ____________

______________ ________ ____________

______________ ________ ____________

______________ ________ ____________

contact was documented on these forms. As data tapes were received and processed, a status was assigned to the case.

Immediately upon receipt of student record information, the tape was checked by Westat. Those cases found in compliance with the data request were assigned a status code of Complete. The immediate processing of all received tapes ensured detection of problems early on in the study. Efforts to resolve problems with documentation were conducted throughout the data collection phase of the study.

During data collection and receipt control, two major problems were detected. The first problem involved a tape received from a state agency which included Social Security numbers and disbursement information for students not in the sample. This tape was returned to the respondent agency. The programming error was corrected and a usable corrected tape returned to us.

The second problem encountered was with an agency which found no matches for the sophomore cohort sample during its initial run. This state had been a nonrespondent in the senior cohort study and therefore we had no basis on which to judge the likelihood of this result. We asked that the agency perform a manual search for a subsample of the study sample. The agency agreed to perform this task, and matches were found. Thus, data were collected from all agencies.

Other minor problems regarding documentation of the tapes received were also resolved by telephone.

3.5 Telephone Followup for Nonresponse

Although all chief officers had agreed to participate and had appointed coordinators, during our coordinator contacts we identified agencies considered potential refusals. These were agencies which mentioned that their data processing departments were backlogged. In each instance, the problem was the scheduling of the data request. Working with coordinators during nonresponse followup, we were able to achieve response rates of 96% for the senior cohort study and 100% for the sophomore cohort study.

For the sophomore cohort study, fol- ıp was initiated during the early part of May and contact maintained with nonresponding agencies until all data had been collected and all tape problems resolved in July. By July, 100 percent of the agencies had responded. All but two had matched the entire sample against their records. Two agencies had performed manual checks for a subsample consisting of students most likely to have received loans from their agencies.

3.6 Nonresponse Problems

While all problems of nonresponse were ultimately resolved, we found many agencies requesting additional time to perform the task and a few agencies requesting reimbursement for the costs incurred to produce the requested data. The ability to extend the data collection period through July, and the funds to reimburse agencies for costs were critical elements in encouraging response.

4. FEDERAL GUARANTEED STUDENT LOAN

4.1 Eligibility for Federal Pell and GSL Data Collection

Different eligibility requirements for inclusion in the Federal Pell and GSL data collection were used for the senior and sophomore cohorts. For the senior cohort, all members of the HS&B followup sample were eligible for inclusion. For the sophomore cohort, however, only those members of the HS&B followup sample who reported postsecondary school attendance were included. In addition, since matching to Federal Pell and GSL files was based on exact Social Security numbers, unusable Social Security numbers were identified and eliminated from the student files for both cohorts.

The HS&B senior cohort followup file contained a total of 11,995 students. After unusable Social Security numbers were eliminated, this file contained 10,708 students to be matched against Federal Pell and GSL files.

The HS&B sophomore cohort followup file contained a total of 14,825 students of which 10,026 reported postsecondary school attendance. After unusable Social Security numbers were eliminated, this file contained 9,159 students to be matched against Federal Pell and GSL files.

4.2 GSL Record Dump Extraction: Overview

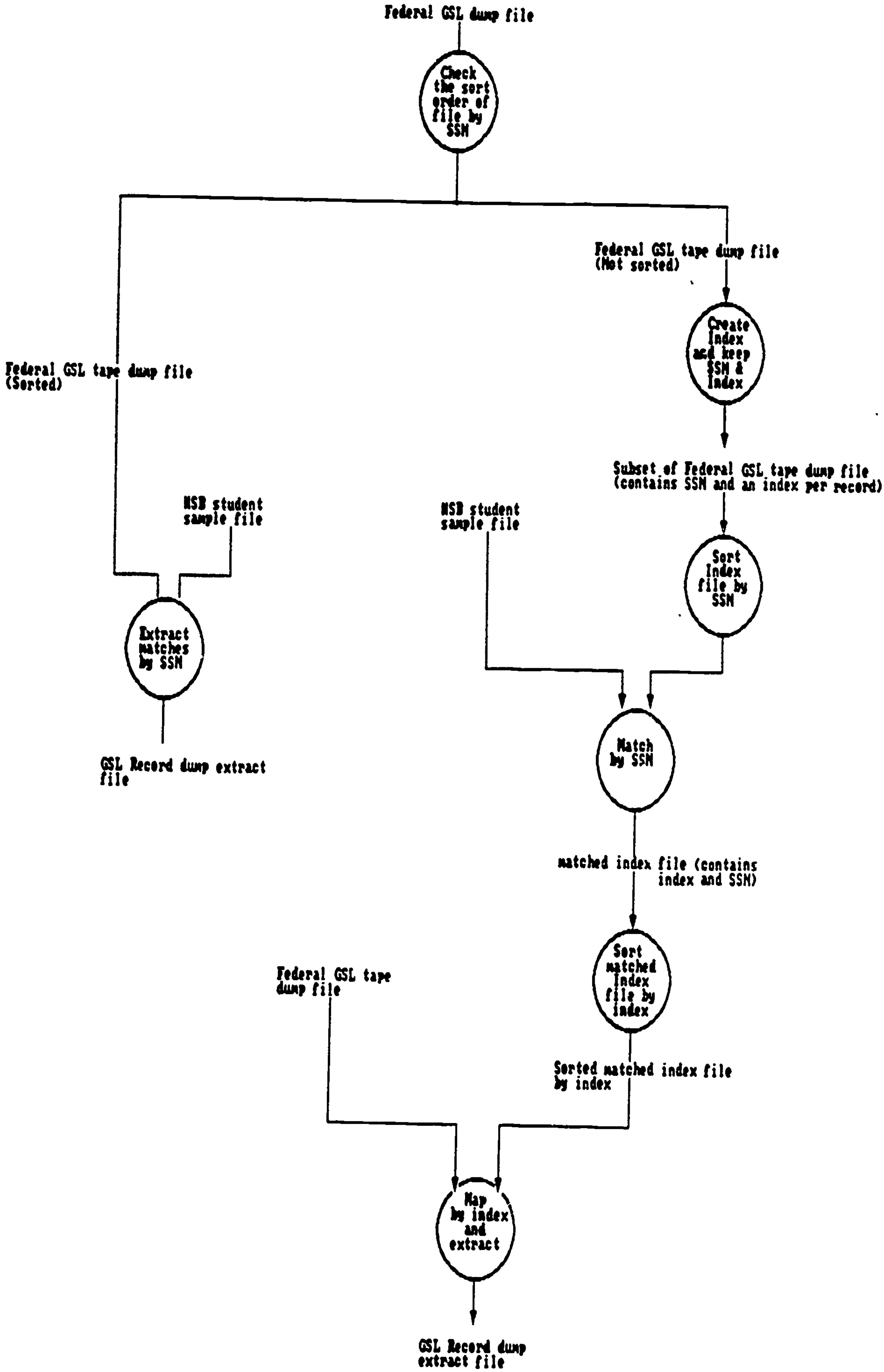
The Federal Guaranteed Student Loan (GSL) tape dump file contains cumulative information about the borrowers and lenders of guaranteed student loans. These tape dump files were used to supplement information provided by state agencies regarding year-by-year GSL amounts for senior and sophomore cohort sample members. Federal fiscal years run from October 1 of one calendar year through September 30 of the following year. On the other hand, the start and finish of academic years vary by educational institution. Information on Federal GSL tape files are reported according to fiscal year (rather than academic year).

The GSL tape dump files for FY1983-FY1986 and FY1982-FY1984 were compared with the sophomore cohort and senior cohort sample files, respectively. Matches were found according to usable Social Security numbers from the student sample file, and information associated with the matched students was extracted from the Federal GSL tape dump files. Since the files for FY1981 were incomplete, extraction was not performed for that year.

4.3 Record Dump Extraction

The general scheme for the GSL Record Dump Extraction is illustrated in Figure 4-1. The procedures were as follows:

Figure 4-1. GSL Record Dump Extraction



- The Federal GSL tape dump files were checked to determine whether the files were in order by Social Security number.
- If a year's file was not ordered by Social Security number, an index file was created. This index file contained only Social Security numbers from the corresponding dump file, as well as an index representing each record's position within the Federal GSL tape dump file.
- Each index file was sorted by Social Security number. This file was compared to, and matched against, the student sample file, creating an intermediate file for matched records.
- The intermediate file was sorted by index and mapped to the Federal GSL tape dump file. The complete corresponding records from the Federal GSL tape dump file were extracted, creating the GSL record dump extract file for that particular year.
- GSL tape dump files that were initially ordered by Social Security number were compared to, and matched against, the student sample files by Social Security numbers.

Prior to appending the extracted data from FY82-FY84 for the senior cohort and FY83-FY86 for the sophomore cohort, record flags were created for each year of extracted data. These record flags consist of four characters. The first character identifies the source of data, e.g., G stands for GSL. The next character in the record flag specifies the year from which the data were extracted. For example, sophomore G1 indicates the extracted data originated from the FY1982 GSL record dump file. A summary of GSL Record dump extraction data is contained in Table 4-1.

The remaining two characters in the record flags identify the number of occurrences of that record within a particular year of the GSL tape dump file. For example, G101 for sophomore cohort indicates that the record was extracted from the 1982 GSL tape dump and that there was one occurrence of that Social Security number for that year. Finally, the sophomore cohort extract files were appended as were the senior cohort extract files. These files were in chronological order by record flag. Social Security numbers were not included in this final extract file to ensure anonymity of the individual students.

Table 4-1. Summary of GSL Record Dump extraction data

File Name	Senior cohort		Sophomore Cohort	
	Total number of records in Federal GSL Tape Dump File	Number of records that matched the senior student sample file	Total number of records in Federal GSL Tape Dump File	Number of records that matched the sophomore student sample file
FY1982 Federal Tape Dump	7,218,258	1,715	...	...
FY1983 Federal GSL Tape Dump	7,575,518	1,786	7,575,518	1,398
FY1984 Federal GSL Tape Dump	11,192,174	2,766	11,192,174	2,410
FY1985 Federal GSL Tape Dump	...	...	12,561,692	2,930
FY1986 Federal GSL Tape Dump	...	...	14,295,014	3,336

5. PELL GRANT DISBURSEMENT

5.1 Pell Grant Disbursement Data Extraction: Overview

The Pell Grant program is an entitlement program by which Federal funds are granted to qualified students based on assessment of financial needs.

The Pell Award Student Master files (Master files) were used in the High School and Beyond study to supplement Pell data reported by institutions for the senior cohort. For the sophomore cohort, the Master file match was the only source of Pell grant data. The Master files were searched for students who received one or more Pell grants during FY1981-1984 for senior cohort members, and FY1983-FY1986, for sophomore cohort members. Information on Pell Award files are tabulated according to Federal fiscal year, which runs from October 1 through September 30, rather than academic years which vary by institution. Matches between the student sample files and the Master files were determined according to usable Social Security numbers contained within the student sample files.

For each year in which a given student in the sample files appeared in the Master files, supplemental Pell data were extracted from the Master file. This supplemental data consisted primarily of financial aid disbursement information and corresponding institutional information relevant to the student. There is one record in the Pell Financial Aid supplement data (FAS) file for each record extracted from the Master files.

5.2 Pell Data Extraction: FY1981-1984

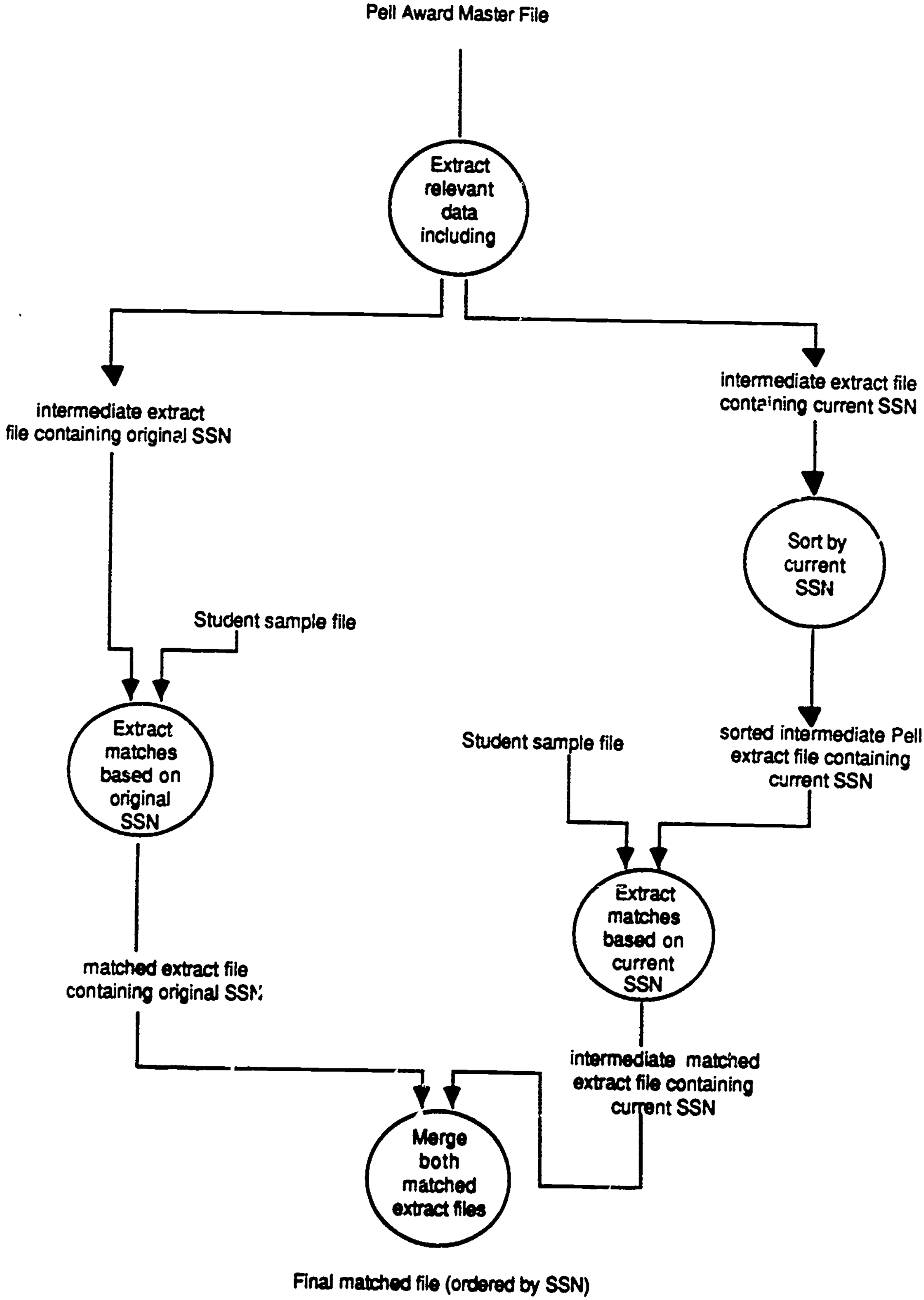
The Pell Award student Master files for FY1981-1984 were sorted by the original Social Security number. In addition, however, the files contained a current Social Security number field. If a student made corrections to the Social Security number through the application processing procedures, the current Social Security number field would contain the corrected Social Security number. On the other hand, if no corrections were made by the student, the current Social Security number field would be equal to the original Social Security number field.

The general scheme used to extract the Pell data is illustrated in Figure 5-1. The following procedures were used to extract data from the Master files:

- The Master files were accessed, and the current Social Security number fields were compared to the original Social Security number fields for each record in the files.

- If the current Social Security number field differed from the original Social Security field, relevant data from the

Figure 5-1 Pell Grant Extract for
FY 1981-FY 1984



record, including current Social Security number, were extracted and written to an intermediate file.

- Where the current Social Security number was equal to the original Social Security number, the extracted relevant information was kept on a second intermediate file.

- The extracted file containing current Social Security number, which was not in sort order initially, was sorted by current Social Security number.

- The above sorted file was matched to the student sample files by current Social Security field. Matches were kept on a separate matched extract file.

- The match was repeated for the intermediate file containing the original Social Security number. Matches were kept on another matched extract file.

- The two matched extract files (one containing current Social Security number, and the other containing original Social Security number) were merged, thus creating a final matched file for one year of data for the appropriate cohorts, ordered by Social Security number.

5. **Pell Data Extraction: FY1985-FY1986**[1]

The Pell Award Master files for FY1981-FY1984 differ substantially from the Pell Award files for FY1985 and FY1986. The latter (FY1985-FY1986) files contain only one Social Security number field and include information different from that in the earlier files. In addition, some variables present in the earlier files were not present in FY1985 and FY1986 files. For example, the variable ADISB ("Actual Disbursement") was not included in the latter files. In this case, the variable ADISB was calculated by summing 'Assumed Amount Paid" and "Assumed Remaining Amount to Pay". For a summary comparison of relevant variables extracted from the FY 1981-FY 1984 and FY 1985-FY 1986 Pell Award Master Files, see Table 5-1.

Each record in the Pell Master file for FY1985 and FY1986 contained from 1 to 20 segments. In the previous years, the Master files contained multiple records per student rather than multiple segments per record.

The following procedures were used to extract data from the Master files for FY1985-FY1986:

---

1 This section applies only to sophomore cohort.

Table 5-1. Summary comparison of relevant variables extracted from the Pell Award Master files

Codebook Variable Name	Pell Award Master file variable names for FY 1981 - FY 1984	Pell Award Master file variable names for FY 1985 - FY 1986
ITYPE	Institution Type	Not Available
ICNTL	Institution Control	Not Available
RINST	Reporting Campus	Reporting Campus
AINST	Attended Campus	Attended Campus
ESTATUS	Enrollment Status	Enrollment Status
ICODE	Institution State	Not Available
EINDEX	Eligibility Index	Student Aid Index
RTCOST	Total Student Cost	Reported Cost of Attendance
ATCOST	Total Student Cost Assumed	Assumed Cost of Attendance
RAWARD	Scheduled Award Reported	Not Available
AAWARD	Scheduled Award Assumed	Not Available
REDATE	Date Enrolled (Reported)	Enrollment Date
ASTATUS	Applicant Status Flag	Not Available
TTYPE	Term Type	Reported Academic Calendar
REDISB	Expected Disbursement (Reported)	Reported Amount Paid
AEDISB	Expected Disbursement (Assumed)	Assumed Amount Paid
ADISB	Actual Disbursement	(1)
OAWARD	Overaward/Overpayment Award	Not Available
OFLAG	Overaward/Overpayment Flag	Not Available

1. Computed as sum of "Assumed Amount Paid" and "Assumed Remaining Amount to Pay."

- The Pell Award Master files for FY1985 and FY1986 were composed of variable-length records. The first step in the extraction process was to organize the files into fixed-length records, retaining only those variables relevant to the study.

- These fixed-length records from the Master files were compared to, and matched against the student sample file for the sophomore cohort, resulting in a matched Pell extract file.

- Each record in the matched Pell extract file was comprised of a number of segments. Every occurring segment was transformed into a separate record.

5.4 Record Flag Creation

Prior to combining the four years of data for both the sophomore and senior cohorts, record flags were created for each year of the Pell extract data files.

The Pell award record flags consist of four characteristics. The first character identifies the source of the data -- e.g., P stands for Pell. The next character identifies the year from which the data was extracted. For example, for sophomore cohorts, P1 indicates FY1981 Pell, P2 indicates FY1982 Pell.

The remaining two characters in the record flags identify the number of occurrences of that Social Security number within a particular year of the Master file. For example, P102 indicates that this student's Social Security number appeared twice in the Pell Grant Master file for 1981.

Finally, for both the sophomore cohort and the senior cohort, the four Pell extract files were appended in chronological order by record flag. Social Security numbers were not included in this final extract file to insure anonymity of the individual students.

A summary of the Pell data is contained in Table 5-2.

Table 5-2. A summary of Pell Award data extraction

Pell Award Federal Files	Senior Cohort		Sophomore Cohort	
	Total number of records in the Pell Award file	Number of records in the file that matched the student sample file	Total number of records in Pell Award file	Number of records in the file that matched the student sample file
Federal Fiscal Year 1981..	2,856,305	2,620	---	---
Federal Fiscal Year 1982..	2,789,901	1,954	---	---
Federal Fiscal Year 1983..	2,624,736	1,446	2,626,233*	1,740
Federal Fiscal Year 1984..	2,855,896	1,277	2,857,309*	1,603
Federal Fiscal year 1985..	---	---	2,761,387	1,330
Federal Fiscal Year 1986..	---	---	2,836,511	1,121

*The discrepancies in the total number of record between seniors and sophomores Pell Award Files are due to different times at which the files were obtained from the Pell program.

HIGH SCHOOL AND BEYOND
FINANCIAL AID SUPPLEMENT
METHODOLOGY REPORT

APPENDICES

January 1988

APPENDIX A

DATA COLLECTION AND PROCESSING PLAN

DATA COLLECTION, PREPARATION AND PROCESSING PLAN FOR THE SENIOR COHORT FINANCIAL AID RECORDS STUDY

1. OVERVIEW AND SCHEDULE

1.1 Background

The Financial Aid Records Study is one of the component parts of the longitudinal study "High School and Beyond" (HS&B) sponsored by NCES. The purpose of the Financial Aid Records Study is to collect accurate data from the educational institutions and government agencies that maintain records on the types of financial assistance received by students. The students themselves frequently cannot recall the exact sources or types of aid they received.

The sample of students selected to participate in the HS&B study will be interviewed periodically throughout the decade of the 1980's. Financial aid data for sampled students will be requested from educational institutions and government agencies only once: during a period four years after the student's senior year in high school. Thus, during the fall of 1984, information was sought for the students who were seniors during the spring of 1980. Similarly data for the students who were sophomores at the time of the 1980 interviews and seniors in 1982, will be requested during the fall of 1986.

As a subcontractor to the National Opinion Research Center, the HS&B prime contractor, Westat, Inc. is responsible for the financial aid records component. In carrying out its assignment, Westat has responsibility for collecting and processing data from both educational institutions and the governmental agencies which maintain student financial aid records, e.g. on the Pell Grant and Guaranteed Student Loan (GSL) programs.

This report focuses on activities related to obtaining and processing data from educational institutions only. The planned approach for obtaining GSL and Pell Grant data will be presented in a separate paper. The development of public use data files from the institutional, GSL, and Pell Grant data will also be discussed in detail in a separate paper.

1.2 Schedule

The schedule of planned activities and milestones is given in Figure 1-1. Start and completion data are actual where known; projected dates are given for future activities. Subsequent sections of this report describes each of these activities in detail. Appendices to this report contain the receipt/control telephone followup, coding and machine edit manuals prepared for the staffs conducting these activities.

1.3 Overview of the Data Management System

For the Financial Aid Records Study there are two levels of data to be tracked by the management system: institution and individual student. A computerized receipt control system is used to track institution - level data. As shown in Figure 1-2, as packages are returned to Westat from participating institutions, receipt information is entered into the receipt/control file. This file is used to generate management reports and also to produce lists on nonresponding institutions for followup telephone calls.

Figure 1-1. Schedule for educational institution financial aid data collection and processing

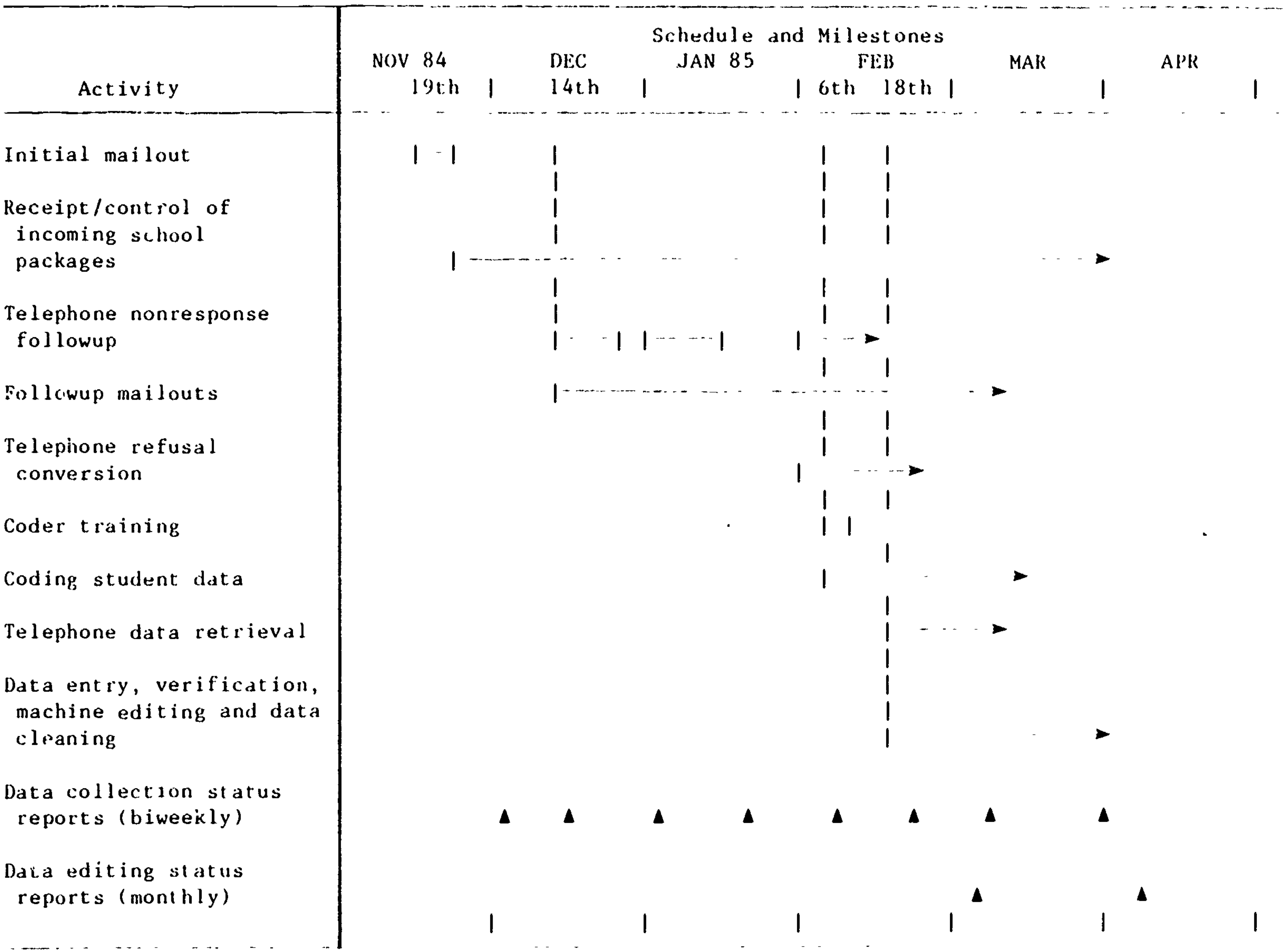
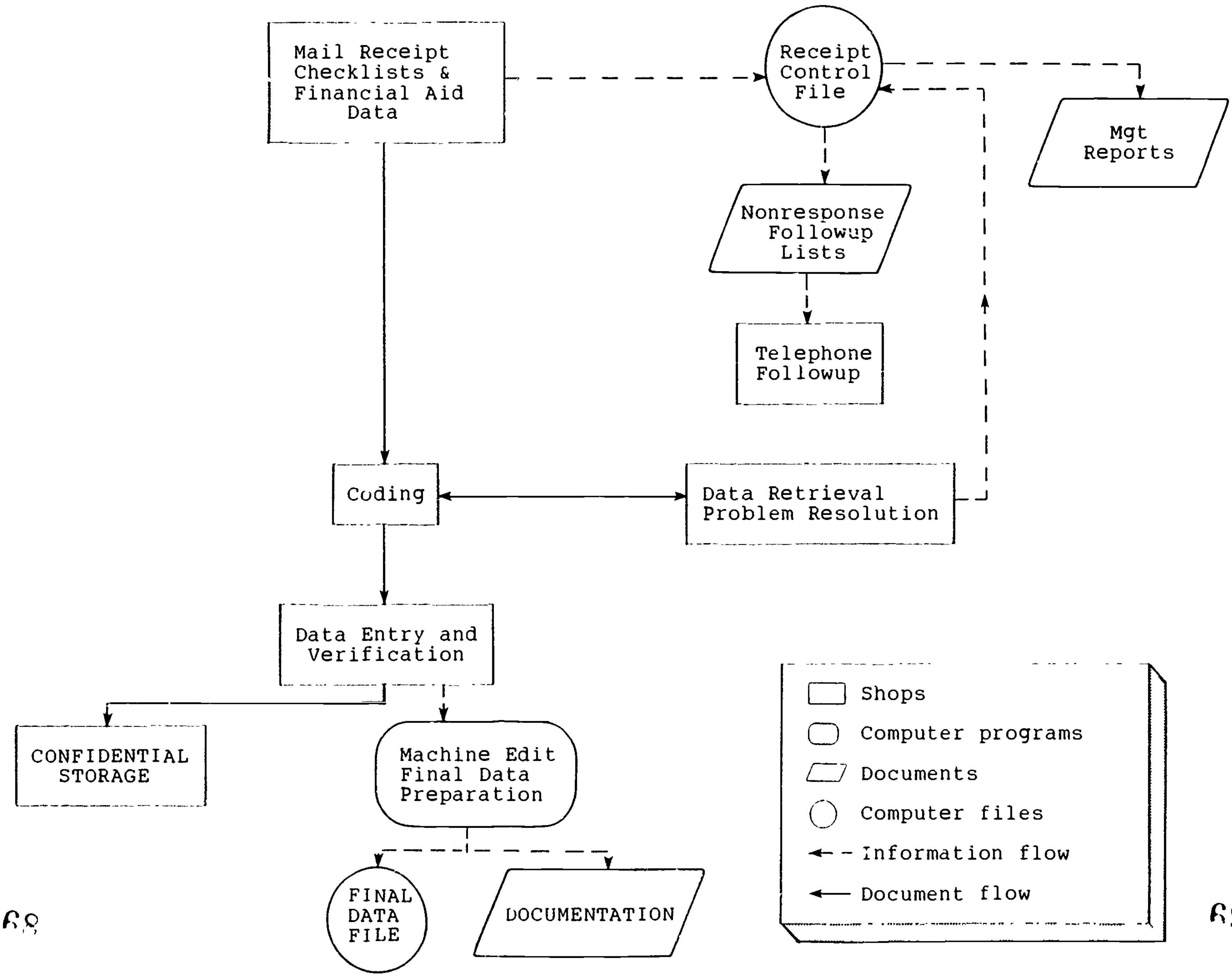


Figure 1-2. Flowchart of information and documents from the Financial Aid Records Study



Financial aid documents from each institution are put into a school folder and filed awaiting coding. School folders are sent to the coding shop, where records are created for every student/institution combination. Since a student may have attended more than one postsecondary institution during the four years after high school, a record will be created for data from each institution on every student who reported attending that institution. Even in situations where the institution has no record of the student, a record will be created so that every student/institution on the original HS&B data file sent by NORC to Westat will be accounted for.

From coding, the school folders containing forms for each student/institution combination will be sent to the data entry shop where the data are keyed directly to disc and 100 percent verified. The hard-copy documents will be returned to the receipt/control shop where they will be filed in confidential storage. The data file will go through machine edits and then final data files and documentation will be produced.

Once the file of student/institution records is edited and cleaned, then the records can be sorted in a variety of ways. For this study, a file of particular interest will be one sorted by student, so that all information about a particular student's postsecondary experiences is together.

As in all studies involving data management, a decision had to be made as to how detailed the computerized management system should be. Westat decided to computerize institution - level receipt/control data and to rely on manual systems for tracking student-level data through the coding operation. The computerized file of student-level data will be created during the data entry operation. This decision was made for several reasons.

First, the value of computerizing institution level receipt/control data is apparent, since the computer can readily generate lists of nonresponding schools for followup, and labels for mailouts, etc. With regard to student-level data, the relative merits are less apparent. To minimize call-backs to institutions, we are treating each institution as a unit through the coding operation. Thus, the student checklist and coding forms are manual records of student data status. Information for any individual student/institution can be located since the whereabouts of the school folder will be known throughout the computerized system.

Finally, the true status of student level data cannot be known until after coding has been completed anyway, since what looks like complete information may be found by the coder to be incomplete or inconsistent and requiring data retrieval. Thus, management reports on number of students for whom complete da ve been received will not be accurate until data retrieval a coding have been completed. We will have management reports on schools completed at each stage and since all students in a school are kept together through the coding process, we will have approximate information on students completed.

There are tradeoffs in this decison. Tracking each student-institution combination would provide a precise level of detail. The disadvantage is that the operation of entering status each time an action is taken creates bottlenecks in the process. Instead of monitoring 2,690 school folders, we would be sending through the receipt/control shop forms for 11,450 student/institution combinations, each time the form goes to coding, to data retrieval, back to coding, to data entry and back again. We think the gains in level of detail achieved are not worth the time and cost required to achieve it.

2. DESCRIPTION OF COMPUTER FACILITIES AND SYSTEMS

Westat computer staff have developed a wide range of hardware and software configurations for the varied needs of survey data management and analysis. Included are the use of microcomputers and optical character reader technology for data entry, computer graphics, and a number of data base management and statistical packages.

Westat's computing capacity, especially in interactive applications, has been substantially enhanced by the VAX 11/780 and 11/750 computer systems. Although the VAX is considered a minicomputer, it is the culmination of the rapid development of computer hardware during the past decade, offering processing power only available in the largest mainframe computers just a few years ago.

Equipment consists of:

- A Digital Equipment Corporation (DEC) VAX 11/780 central processor with 8 million characters of memory.
- A Digital Equipment Corporation (DEC) VAX 11/750 central processor with 4 million characters of memory.
- Eight disk drives providing 3 billion characters of online storage.
- Two tri-density 800/1600/6250 bpi tape drives.
- Three high-speed line printers.
- More than 150 terminal connections, some directly wired to terminals, some accessible through telephone lines.

The particular configurations used in the Financial Aid Records Study are described as appropriate in the sections which follow.

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3. DATA COLLECTION

3.1 Introduction

The HS&B Financial Aid Records Study is a mail survey; that is, the postsecondary institutions attended by HS&B sample members are contacted by mail and asked to mail, to Westat, information about each student's receipt of financial aid.

Followup telephone calls are made to verify that the mail packages were received, to answer questions and to encourage participation. After coding of individual student data has been initiated, data retrieval telephone calls will be made to obtain necessary data and to clear up ambiguities and inconsistencies in the data received.

3.2 Mailouts

During the period from November 19-26, 1984, packages requesting financial aid information were mailed to 2,690 postsecondary institutions. These 2,690 institutions had been identified by HS&B senior cohort sample members in response to first and second followup questions about the postsecondary institutions they attended.

NORC sent Westat two computer files containing information for the mailout. One file contained institution address information. The other was a student-institution file containing a separate record for each student-institution combination (11,458 combinations).

Using these two files, Westat produced checklists for each school listing those students who reported attending the school, student labels that could be affixed to each student's financial aid information, and school labels for mailing purposes.

The mailout packages contain general information describing HS&B and the Financial Aid Study, letters of endorsement, a checklist listing the HS&B students who reported attending each institution, data forms, instructions and mailing materials.[1]

For the initial November 1984 mailout, a staff of six FTE's worked under the supervision of the mailout supervisor. The mailout operation for this study was located in one of the large field rooms used by Westat for such purposes. The mailout staff were assigned different tasks: two persons took empty folders and filled them with the general information. Two persons separated the checklists and student labels, counted out the appropriate number of sample student forms, and clipped these materials together. Two persons assembled the packages, stuffed envelopes, and prepared the packages for mailing. Once the first group had completed preparing all of the folders with general information, they were shifted to other tasks. The mailout supervisor spot-checked packages before they were mailed.

Subsequent mailouts have been made as a result of telephone followup calls. Somewhat less than 30 percent of schools requested that packages be remailed to them. Because these requests came on a flow basis, a smaller staff has been responsible for remails: a maximum of three persons, and a minimum of one.

[1]Copies of the mailout package have been submitted to NORC and NCES separately.

3.3 Followup Telephone Calls

Beginning on December 14, 1984, followup calls were made to institutions that had not sent back any information. The purpose of these phone calls is to verify that the package of materials was actually received by the person responsible for replying, to answer questions about the survey, and to encourage response.

Subsequent followup calls will be made beginning in early February to further encourage response, answer questions and obtain information for additional remails.

Followup telephone calls are made by experienced staff in Westat's Telephone Research Center. Eight FTE's were trained in mid-December, 1984 to conduct these calls; many of the same staff will be used to make additional calls in February. Additional training will be provided as necessary. Copies of Telephone Followup Manuals are included as attachments to this report.

3.4 Data Retrieval Followup Telephone Calls

As part of the coding operations, described in Section 5, information on individual students may be found to be missing, inadequate, or contradictory. Coders will fill out a problem card for each situation and attach the problem card to the student's form. The entire school folder will be sent to data retrieval for telephone followup. Although this will mean that some student's forms not appearing to need data retrieval will sit in data retrieval until all questions have been cleared up at a school, we think it is preferable to do data retrieval school by school rather than student by student. This is so for several reasons. We do not want to have to recontact school administrations more than absolutely necessary. Also, although it may be that we have a question about only one student, it may become obvious that the person supplying the financial aid information misunderstood some instructions and made similar errors in other students' information. Similarly, they may have written notes on one form or on the checklist that apply to all HS&B students in the school.

We do not anticipate that this will interfere with the coding and data entry operations. First, the number of schools with many HS&B students is small. Fully 40 percent of the institutions have only one HS&B student, 80 percent have five or fewer and 90 percent have less than ten HS&B students. Thus, sending an entire school's folder to data retrieval will rarely tie up many records.

The coders will have many schools to work on. As their workload decreases, coders will be shifted to other projects within Westat. Data entry will be done in batches, and will not start until a sufficient number of forms are coded and ready to ensure an even flow of work.

The coding supervisor and assistant field director will review all cases requiring data retrieval and will decide whether Telephone Research Center staff can handle the calls or whether the field director or assistant field director should call. If the problem needs more elaboration, they will consult with the coder and more fully describe the problem for the telephone caller.

Data retrieval calls in the TRC will be made by interviewers selected from those who made followup calls. They will already be familiar with the study and its objectives. They will be trained in the details of the data forms so that they will be able to answer questions raised by financial aid staff.

3.5 Refusal Conversion

As part of their general training in the TRC, all Westat telephone interviewers are instructed in handling refusals. It is emphasized that they should never argue with or antagonize a respondent, thus leaving the opportunity for someone else to convert the refusal.

Refusals to date have been a minor problem (4 by mail; 10 by telephone). All refusals are sent to the field director for review. Determination of the appropriate action is the responsibility of the field director.

4. RECEIPT/CONTROL

4.1 School-level Data

Packages returned to Westat by institutions are opened by one of two receipt/control clerks located in the Westat education department field room. The clerk does a preliminary review of the materials to see that some information has been received about every HS&B student on the checklist. Schools which neither return some information nor indicate on the checklist a reason for not sending information on one or more students are considered to be partial completes. All packages are assigned a disposition code and placed in a folder. The receipt/control clerk then enters a disposition for the school in the management system.

The computerized receipt/control system keeps track of the status of each school and school folder. Nonresponse telephone calls are triggered by the receipt/control system. Prior to the initiation of nonresponse calls, computer labels for all nonresponding schools are produced. These labels are attached to call record forms (a standard TRC form) in the telephone center.

As described in the attached Description of Management File, every time a school folder leaves the field room, a status code is entered so that the location of the folder is known at all times.

4.2 Student Level Data

Although student level data status is not entered into the computerized management system, there are many manual checks built into the data preparation plan to ensure that data are not lost in any step. First, every school folder must contain a student checklist. If the school failed to return the checklist, then, from our files, we will prepare a copy. This copy must be reconciled with the information sent by the school. If it cannot be, then the folder will be sent to data retrieval.

Using the checklist and information submitted by the school, the coders will fill out coding forms for every student listed as attending a school, including those for whom no information was sent. Each time the school folder is handled (to and from data retrieval, coding or data entry), the number of data forms in the folder will be compared with the checklist to make sure that forms have not been misplaced.

The computerized receipt control system will be used to generate records for students attending nonresponding, closed or duplicate schools. These records will be combined with the file of coded records from responding schools. As part of the editing process, this study data file will be compared with the student-institution file which was the basis of the original mailout. Thus when data processing has been completed, every student/institution combination on the original file will either have financial aid data or a code indicating that data was unavailable, that the school refused or was closed, etc.

5. CODING

5.1 Overview

Coding for the Financial Aid Records Study will be divided into two types: general and special. A large majority of institutions have chosen to fill out the sample student financial aid forms sent to them as part of the mailout package rather than to photocopy students' financial aid files. This reduces the task of coding from one requiring selecting and abstracting data from a variety of forms to primarily an editing task. Therefore, all coders will begin with general coding; that is, reviewing the forms completed by the schools. Then, two of the best general coders will receive specialized training in abstracting from school forms. This is the special coding described in Section 5.3

The field director and assistant field director will train the coders and coding supervisor. In addition, they will periodically check samples of each coder's work to make sure that everyone, including the coding supervisor, is in agreement about coding procedures.

The field director and assistant will review problem cases. Any unresolved issues will be discussed with the Westat project director. Major and unresolved problems will be discussed with the NORC project director.

Coders doing general coding for the Financial Aid Records Study wil use a machine-readable codebook which will be generated using a proprietary software package developed by Westat staff. This package is called COED (Codebook Editor) and is an interpreter which reads a file of specially formatted records and translates them into a codebook. Codebooks generated by COED include:

- Variable names and item descriptions (usually the question) for each codable item.
- Column locations of all codeable items.
- Codes for all possible responses, including codes for "no data," responses such as "inapplicable" (legitimately skipped), "response not ascertained," "don't know" and "refused."
- Clear delineation of skip patterns in the form of asterisks which are attached to the code that dictates the skip pattern and instructions for coding the dependent "inapplicable" questions which are printed below the listing of codes.
- Special instructions whenever a question or series of questions requires particular editing.

The General Codebook is an attachment to this report.[1]

Quality control of the coding of completed questionnaires will be achieved through verification and feedback. Each coder's first work unit will be verified 100 percent. The results of that verification will be discussed with the coder so that he/she understands the types of errors he/she is making. Verification will continue at the 100 percent level whenever a tolerable error level is not achieved. When a tolerable error level is achieved, verification will be reduced to 10 percent of the coder's work or two interviews per batch. Verification sheets showing number and types of errors will be maintained, and the coder will review his/her verification sheets so that he/she understands where he/she is making errors.

[1]Currently enclosed is the draft submitted for review to NORC on January 14, 1985.

The coding shop for this study is located in the same field room as the receipt/control operation, making it easier to transmit folders from files to coding and back again. This room is located within the education group's quarters at Westat, so that senior supervisory staff can conduct periodic checks of all activities.

We anticipate training 6 FTE's to be coders on this study. Coder training is planned for February 6, 1985.

5.2 Special Coding

Institutions were given the option to submit data to us in any convenient form. Therefore, some have chosen to photocopy records or produce computer printouts of data. For these schools, coding the student-level data is more complicated than that described above. Special coding involves abstracting information from data submitted by institutions onto our coding forms. Particularly if schools have photocopied a student's entire file, special coding involves reviewing all documents and then selecting the best information to be entered on the coding form.

As noted above, the number of schools requiring special coding is not expected to be large. The two best general coders will be trained in special coding. Since our special coding is essentially the same as pretest coding, we expect to be able to use the pretest coding manual to train the special coders.

5.3 Problem Cases

Coders will fill out a problem sheet (discussed in the general coding manual) every time they have a problem coding student data. These problem sheets will be reviewed by the coding supervisor and assistant field director and if necesary the field director, Westat project director and NORC project director. If coders are having similar problems, as noted on problem cards, then additional instruction will be given to the coders to explain the issues thev find difficult.

The problem sheets also provide documentation which should provide insight for the revision of forms and instructions for the sophomore cohort survey.

6. DATA ENTRY AND MACHINE EDITS

As batches of completed questionnaires are coded and verified, they will be transmitted to Westat's data entry department to be keyed into machine-readable form. Westat's data entry department includes 15 full-time and several part-time employees. The data entry staff is highly experienced and averages 11,000 key strokes per hour. In addition, they have developed reliable systems for controlling the transmittal of source documents to and from the data entry department.

Westat's data entry technicians, verifiers, and supervisors use a sophisticated Key-Edit Model 2022 data entry system based around a Digital Equipment Corporation PDP-11 minicomputer. The hardware consists of:

- Fifteen data entry keying stations and one supervisor station, each with keyboard and CRT display;
- Two disk drives, each capable of storing up to 40 million characters of information;
- A 9-track 1600 BPI tape drive;
- Two card punches, a card reader/punch;
- A high-speed line printer;
- A PDP-11 miniprocessor with 96,000 words of memory; and
- A JES2 Remote Job Entry Station emulator for linking the PDP-11 minicomputer to the computer used for processing data for each study.

The project staff will work together with the data entry supervisors to develop keying control programs in the Key-Edit Corporation's data entry language. Data will be keyed to disk and transmitted to be processed on Westat's VAX 11/780 computer or at EDS.

All data entry will be 100 percent verified.

After the interviews are keyed into machine readable form, they will be computer edited to produce "clean" data tapes. Machine editing programs will be written using specifications developed by the project staff.[1] The interview data will be run through as many editing and error correction cycles as are needed to produce a clean data base.

The data cleaning process will also include running the data files against the student-institution linkage file to be certain that there is a record in the data files for each student-institution combination.

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[1]The draft machine edit specifications will be submitted to NORC on February 4, 1985.

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7. DATA CONFIDENTIALITY

Westat is firmly committed to the principle that the confidentiality of individual data obtained through Westat surveys must be protected. Following are confidentiality procedures which Westat routinely follows in all its survey projects.

- All Westat employees, including telephone interviewers, sign a Westat assurance of confidentiality. This assurance may be superseded by an assurance of confidentiality for a particular project if tnat project's confidentiality procedures so require.

- All employees exercise reasonable caution to prevent access by others to survey data in their possession.

- Unless specifically instructed otherwise for a particular project, an employee, upon encountering a respondent or information pertaining to a respondent that s/he knows personally, immediately terminates the activity and contacts a supervisor for that project.

- Survey data containing personal identifiers are kept in a locked container or a locked room in Westat offices when not being used each working day in routine survey activities. Reasonable caution is exercised in limiting access to survey data to only those persons who are working on the specific project and who have been instructed in the applicable confidentiality requirements for that project.

- Serial numbers are assigned to respondents prior to creating a machine-processible record and identifiers such as name and address are not, ordinarily, a part of the machine record. When identifiers are part of the machine record, Westat's Manager of Data Processing is responsible for determining adequate confidentiality measures in consultation with the project director. When a separate file is set up containing identifiers or linkage information which could be used to identify data records, this separate file is kept locked up when not actually being used each day in routine survey activities.

- Each project director is responsible for ensuring that all personnel and contractors involved in handling survey data on a project are instructed in these procedures, have signed this pledge and comply with these procedures throughout the period of survey performance. At the end of the period of survey performance, the project director arranges for proper storage or disposition. When required to turn over survey data, we provide proper safeguards to ensure confidentiality up to the time of delivery.

APPENDIX B

FINANCIAL AID RECORD REQUEST PACKAGE

NATIONAL LONGITUDINAL STUDIES PROGRAM

High School and Beyond
a national longitudinal
study for the 1980s

Sponsored by the National Center for Education Statistics,
U.S. Department of Education

National Longitudinal
Study of the High School
Class of 1972

The professional organizations listed below fully endorse the High School and Beyond Financial Aid Study and encourage their members to cooperate in this important project.

National Association of Student Financial Aid Administrators (NASFAA)

American Association of Collegiate Registrars and Admissions Officers (AACRAO)
American Association of Community and Junior Colleges (AACJC)
American Association of State Colleges and Universities (AASCU)
American Council on Education (ACE)
Association of Catholic Colleges and Universities (ACCU)
Association of Independent Colleges and Schools (AICS)
Association of Jesuit Colleges and Universities (AJCU)
The College Board
National Accrediting Commission of Cosmetology Arts and Sciences (NACCAS)
National Association of College and University Business Officers (NACUBO)
National Association for Equal Opportunity in Higher Education (NAFEO)
National Association of Trade and Technical Schools (NATTS)
National Council of Higher Education Loan Programs (NCHELP)
National Institute of Independent Colleges and Universities (NIICU)
United Negro College Fund, Inc.

NATIONAL LONGITUDINAL STUDIES PROGRAM

High School and Beyond
a national longitudinal
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**Sponsored by the National Center for Education Statistics,
U.S. Department of Education**

'72
National Longitudinal
Study of the High School
Class of 1972

November 1984

Dear Financial Aid Administrator:

We would like to request your assistance with the High School and Beyond Financial Aid Records Study, sponsored by the National Center for Education Statistics (NCES). Westat, Inc., in collaboration with the National Opinion Research Center (NORC), is conducting this study for NCES. The purpose of the research is to obtain objective, accurate financial aid data from the institutions and government agencies that maintain records of student awards and educational expenses.

The Financial Aid Records Study is a component of the High School and Beyond Study (HS&B), a large scale, longitudinal study that NCES has been conducting since 1980, when nationally representative samples of the high school classes of 1980 and 1982 were surveyed initially. These two classes (cohorts) are to be resurveyed at two year intervals throughout the decade of the 1980s. In the HS&B Second Follow-up survey (1984), some 8,000 members of the class of 1980 reported attending over 2,500 postsecondary schools.

We would like to obtain financial aid data for those HS&B sample members who reported attending your school. Specifically, we are requesting information from existing financial aid documents or computer files covering the 1980-81, 1981-82, 1982-83 and 1983-84 academic years for each sampled individual. In December, 1983 a letter was sent to you (on HS&B/NORC letterhead) identifying the sampled student(s) and requesting that this information be retained for retrieval at this time.

Enclosed in this folder are specific instructions for obtaining the requested data and a checklist identifying the particular student(s) for whom data are requested. Also enclosed is a letter from NCES authorizing Westat to collect these data under provisions of the Family Education Rights and Privacy Act (FERPA) that permit release of records to the Secretary of Education or his agent without prior written consent by survey subjects (34 CFR 99.31 (6)).

Conducted by WESTAT • An Employee-Owned Research Corporation •
1650 Research Boulevard • Rockville, MD 20850 • (800) 638-8985

The financial aid study has been reviewed and endorsed by the National Association of Student Financial Aid Administrators (see enclosed letter from Dallas Martin, NASFAA Executive Director) and by the other professional organizations listed on the cover of the folder. All of these organizations would welcome any inquiry you may wish to make regarding their support of the study.

We would appreciate return of the requested materials to Westat by December 14, 1984 or as soon as possible thereafter. A Westat business reply label is enclosed for your convenience. If we can assist you in any way to provide these materials or if you have any questions, please call Nancy Caldwell at (800) 638-8985.

Sincerely,

Kenneth Burgdorf

Kenneth Burgdorf, Ph.D.
Project Director
Westat, Inc.

KB/pn

UNITED STATES DEPARTMENT OF EDUCATION

OFFICE OF THE ASSISTANT SECRETARY
FOR EDUCATIONAL RESEARCH AND IMPROVEMENT

THE NATIONAL CENTER FOR
EDUCATION STATISTICS

November 1984

Dear Financial Aid Administrator:

The National Center for Education Statistics (NCES) has authorized Westat, Inc. to obtain financial aid data for individuals who are participating in the High School and Beyond Survey (HS&B), an NCES longitudinal study. The purpose of this longitudinal study is to supply data to educational researchers and to policy analysts on the transition that young adults make from the world of school to the world of work. The goal of this study is to provide information on sample survey members which can be aggregated to examine research issues at the national level. Student names are used only to make sure that data on variables from different sources (tests, questionnaires, and financial aid forms) refer to the same individuals and not to find out anything about particular individuals.

The grant of authority for collection of the financial aid data is made pursuant to the provision in the Family Education Rights and Privacy Act (FERPA) (20 U.S.C. 1232g), implemented by 34 CFR 99.31, that allows the release of records to the Secretary of Education or to his agent without the prior consent of the survey participants. The privacy of the information you are asked to supply to Westat will be protected, as required by FERPA. A copy of the relevant section of the act is reproduced on the reverse side of this page.

We would appreciate your cooperation with Westat in the financial aid study.

Sincerely,

C. Dennis Carroll

Dr. C. Dennis Carroll, Chief
Longitudinal Studies
Branch

UNITED STATES DEPARTMENT OF EDUCATION

OFFICE OF THE ASSISTANT SECRETARY
FOR EDUCATIONAL RESEARCH AND IMPROVEMENT

TO: Registrars and Officials

FROM: Andrew Kolstad, NLS-72 Project Officer
Ricky Takai, HS&B Project Officer

DATE: July 1984

The National Center for Education Statistics (NCES) has authorized the National Opinion Research Center (NORC) to obtain student transcript data for individuals who are participating in one of our two longitudinal studies--the National Longitudinal Study of the High School Class of 1972 (NLS-72) and High School and Beyond (HS&B). The purpose of these studies is to supply data to educational researchers and to policy analysts on the transition that young adults make from the world of school to the world of work. The goal of these studies is to provide information on sample survey members which can be aggregated to examine research issues at the national level. Student names are used only to make sure that data on variables from different sources (tests, questionnaires, and transcripts) refer to the same individuals and not to find out anything about particular individuals.

The grant of authority for collection of the transcript data is made pursuant to the provision in the Family Education Rights and Privacy Act (FERPA) (20 U.S.C. 1232g), implemented by 34 CFR 99.31, that allows the release of records to the Secretary of Education or to his agent without the prior consent of the survey participants. The privacy of the information you are asked to supply to NORC will be protected, as required by FERPA. A copy of the relevant section of the act is reproduced on the reverse side of this page.

We would appreciate your cooperation with NORC in the transcript study.

§ 99.31 Prior consent for disclosure not required.

(a) An educational agency or institution may disclose personally identifiable information from the education records of a student without the written consent of the parent of the student or the eligible student if the disclosure is—

(1) To other school officials, including teachers, within the educational institution or local educational agency who have been determined by the agency or institution to have legitimate educational interests;

(2) To officials of another school or school system in which the student seeks or intends to enroll, subject to the requirements set forth in § 99.34;

(3) Subject to the conditions set forth in § 99.35, to authorized representatives of:

(i) The Comptroller General of the United States,

(ii) The Secretary, or

(iii) State educational authorities;

(4) In connection with financial aid for which a student has applied or which a student has received; *Provided*, That personally identifiable information from the education records of the student may be disclosed only as may be necessary for such purposes as:

(i) To determine the eligibility of the student for financial aid,

(ii) To determine the amount of the financial aid,

(iii) To determine the conditions which will be imposed regarding the financial aid, or

(iv) To enforce the terms or conditions of the financial aid;

(5) To State and local officials or authorities to whom information is specifically required to be reported or disclosed pursuant to State statute adopted prior to November 19, 1974. This paragraph applies only to statutes which require that specific information be disclosed to State or local officials and does not apply to statutes which permit but do not require disclosure. Nothing in this paragraph shall prevent a State from further limiting the number or type of State or local officials to whom disclosures are made under this paragraph;

(6) To organizations conducting studies for, or on behalf of, educational agencies or institutions for the purpose of developing, validating, or administering predictive tests, administering student aid programs, and improving instruction; *Provided*, That the studies are conducted in a manner which will not permit the personal identification of students and their parents by individuals other than representatives of the organization and the information will be destroyed when no longer needed for the purposes for which the study was conducted; the term "organizations" includes, but is not limited to, Federal, State and local agencies, and independent organizations;

(7) To accrediting organizations in order to carry out their accrediting functions;

(8) To parents of a dependent student, as defined in section 152 of the Internal Revenue Code of 1954;

(9) To comply with a judicial order or lawfully issued subpoena; *Provided*, That the educational agency or institution makes a reasonable effort to notify the parent of the student or the eligible student of the order or subpoena in advance of compliance therewith; and

(10) To appropriate parties in a health or safety emergency subject to the conditions set forth in § 99.36.

(b) This section shall not be construed to require or preclude disclosure of any personally identifiable information from the education records of a student by an educational agency or institution to the parties set forth in paragraph (a) of this section.

(20 U.S.C. 1232g(b)(1))

§ 99.32 Record of requests and disclosures required to be maintained.

(a) An educational agency or institution shall for each request for and each disclosure of personally identifiable information from the education records of a student, maintain a record kept with the education records of the student which indicates:

(1) The parties who have requested or obtained personally identifiable information from the education records of the student, and

(2) The legitimate interests these parties had in requesting or obtaining the information.

(b) Paragraph (a) of this section does not apply:

(i) To requests by or disclosure to a parent of a student or an eligible student;

(ii) To requests by or disclosures to school officials under § 99.31(a)(1);

(iii) If there is written consent of a parent of a student or an eligible student, or

(iv) To requests for or disclosure of directory information under § 99.37.

(c) The record of requests and disclosures may be inspected:

(1) By the parent of the student or the eligible student,

(2) By the school official and his or her assistants who are responsible for the custody of the records, and

(3) For the purpose of auditing the recordkeeping procedures of the educational agency or institution by the parties authorized in, and under the conditions set forth in § 99.31(a) (1) and (3).

(20 U.S.C. 1232g(b)(4)(A))

§ 99.33 Limitation on redisclosure.

(a) An educational agency or institution may disclose personally identifiable information from the education records of a student only on the condition that the party to whom the information is disclosed will not disclose the information to any other party without the prior written consent of the parent of the student or the eligible student, except that the personally identifiable information which is disclosed to an institution, agency or organization may be used by its officers, employees and agents, but only for the purposes for which the disclosure was made.

(b) Paragraph (a) of this section does not preclude an agency or institution from disclosing personally identifiable information under § 99.31 with the understanding that the information will be redisclosed to other parties under that section; *Provided*, That the recordkeeping requirements of § 99.32 are met with respect to each of those parties.

(c) An educational agency or institution shall, except for the disclosure of directory information under § 99.37, inform the party to whom a disclosure is made of the requirement set forth in paragraph (a) of this section.

(20 U.S.C. 1232g(b)(4)(B))

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nasfaa

NATIONAL ASSOCIATION OF STUDENT FINANCIAL AID ADMINISTRATORS

1776 Massachusetts Avenue, N.W., Suite 100, Washington, D.C. 20036
Phone (202) 785-0453
Hotline (202) 785-0451

November 11, 1984

Dear Fellow Financial Aid Administrator:

Given the rising cost of postsecondary education and the critical role that student financial aid plays in helping people to meet these expenses, all of us are keenly aware of the importance of having accurate information regarding the use of the aid programs to help guide future public policy. Therefore, I would like to ask you to take a few moments from your busy schedule to complete the enclosed materials for a study that is being sponsored by the National Center for Education Statistics and conducted by Westat, Inc., in collaboration with the National Opinion Research Center.

The purpose of the Financial Aid Records Study is to collect data accurately from the educational institutions and government agencies that maintain records on the types of financial assistance that students have received. This study is only one component of the longitudinal study, "High School and Beyond," that NCES has been conducting since 1980. In the past, this data has been collected only by asking students about the types and amounts of financial aid they have received.

Obviously, the accuracy of that information is often questioned, because students frequently cannot recall the exact sources or amounts of aid.

Therefore, this study will carefully collect detailed financial aid records of approximately 8,000 students attending about 2,500 postsecondary institutions. Needless to say, complete privacy and confidentiality of all data will be insured so as to protect all parties. The information obtained from this study will certainly result in a much more accurate statistical profile than has been gathered in the past of the financial aid resources that students are now receiving and will be helpful as well to all of us in conducting future policy research.

Your cooperation and assistance in providing this information in a timely manner to Westat will be greatly appreciated.

Sincerely yours,

Dallas

Dallas Martin
Executive Director

ADM/rct

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NATIONAL LONGITUDINAL STUDIES PROGRAM

High School and Beyond
a national longitudinal
study for the 1980s

**Sponsored by the National Center for Education Statistics,
U.S. Department of Education**

'72

National Longitudinal
Study of the High School
Class of 1972

Description of the National Longitudinal
Studies Program

Overview

The mandate of the National Center for Education Statistics (NCES) includes the responsibility to "collect and disseminate statistics and other data related to education in the United States" and to "conduct and publish reports on specific analyses of the meaning and significance of such statistics" (Education Amendments of 1974 - Public Law 93-380, Title V, Section 501, amending Part A of the General Education Provisions Act).

Consistent with this mandate and in response to the need for policy-relevant, time-series data on a nationally representative sample of high school students, NCES instituted the National Longitudinal Studies (NLS) program, a continuing long-term project. The general aim of the NLS program is to study longitudinally the educational, vocational, and personal development of high school students and the personal, familial, social, institutional, and cultural factors that may affect that development.

The NLS program was planned to make use of time-series databases in two ways: (1) each cohort is surveyed at regular intervals over a span of years, and (2) comparable data are obtained from successive cohorts, permitting studies of trends relevant to educational and career development and societal roles. The NLS program consists of two major studies: The National Longitudinal Study of the High School Class of 1972 (NLS-72) and High School and Beyond (HS&B).

The first, NLS-72, began with the collection of comprehensive Base Year data from over 22,000 high school seniors in the spring of 1972. Four follow-up surveys were conducted in the fall and winter of 1972, 1974, 1976, and 1979, using a combination of mail surveys and personal and telephone interviews.

The second, HS&B, was designed to inform federal and state policy in the decade of the 1980s. HS&B began in 1980 with the collection of Base Year data on high school seniors and sophomores. The First Follow-Up Study was conducted in the spring of 1982, and interviewing for the Second Follow-Up was completed in July of 1984.

To date, High School and Beyond has compiled data from five primary sources: school administrators, teachers, students, students' administrative records (transcripts), and parents of selected students. The principal or headmaster of each school was asked to complete a school questionnaire. Samples of approximately 36 students in each grade were asked to fill out a Student Identification Booklet (which included several items on the use of non-English languages as well as confidential identifying information) and a student questionnaire. They were also asked to take a timed cognitive (achievement) test. Teachers of selected students were asked to fill out brief Teacher Comment Forms on student traits and behavior. During the fall following the Base Year survey, data were collected from over 7,100 parents of student respondents (roughly half from each student cohort). These data focus primarily on parents' ability to finance postsecondary education for their sons and daughters.

The First Follow-Up added a second wave of data from nearly 40,000 students in the spring of 1982. All 1980 sophomores (now seniors) who were still enrolled in their base year schools were asked to fill out a questionnaire and to retake the test that had been administered two years earlier. A stratified subsample of school leavers within the sophomore cohort (dropouts, transfers, and early graduates) was resurveyed and retested. School administrators were again asked to complete a school questionnaire and to provide information on the secondary level course offerings and enrollments for their institutions. In the fall of 1982, high school transcripts were requested for a probability sample of over 18,000 members of the 1980 sophomore cohort. Also as part of the First Follow-Up, questionnaire data was sought from a stratified sample of over 12,000 1980 seniors.

The Second Follow-up of High School and Beyond was conducted in the spring of 1984. Questionnaire data was sought from approximately 12,000 members of the elder (1980 senior) cohort and approximately 15,000 members of the younger (1980 sophomore) cohort. Additional follow-up surveys are scheduled for 1986 and tentatively for 1988. The Third Follow-Up of High School and Beyond (1986) will be coupled with the Fifth Follow-Up Survey of the High School Class of 1972 (NLS-72).

In the spring of 1984 a consortium of university research centers sponsored a study of principals; guidance, vocational, and community service program counselors; and up to 30 teachers in each one of a sample of approximately 500 HS&B schools. Results of the survey, funded by the National Institute of Education and conducted by NORC, will become part of the HS&B database. This valuable information will allow researchers to describe the impact of the school environment on the educational process.

History of High School and Beyond.

High School and Beyond was designed to build on the NLS-72 in three ways. First, the Base Year of HS&B included a 1980 cohort of high school seniors that was directly comparable to the 1972 NLS-72 cohort. Replication of selected 1972 student questionnaire items and test items makes it possible to analyze changes that have occurred since 1972 and their relationship to recent federal policies and programs in education. Second, the introduction of a sophomore cohort provides data on the many critical educational and vocational choices made between the sophomore and senior years in high school, permitting a fuller understanding of the secondary school experience and its impact on students. Finally, HS&B has expanded the NLS-72 focus by collecting data on a broader range of life cycle factors, such as family-formation behavior, intellectual development, and social participation.

The HS&B Base Year study design included a highly stratified national probability sample of over 1,000 secondary schools. Thirty-six seniors and 36 sophomores were selected per school (in schools with fewer than 36 in either of these groups, all eligible students were included). Over 30,000 sophomores and 28,000 seniors enrolled in 1,015 public and private high schools across the country participated in the Base Year Survey.

Several special strata were included in the sample with probabilities higher than their occurrence in the population to allow:

- Hispanic strata, with probabilities of selection to ensure sufficient numbers of Cuban, Puerto Rican and Mexican students for separate analysis.
- A stratum of Catholic schools with high proportions of black students.
- A stratum of public alternative schools.
- A stratum of private schools with high-achieving students.

The Hispanic supplement to the sample was funded jointly by the Office of Bilingual Education and Minority Language Affairs (OBEMLA), and the Office for Civil Rights (OCR) within the Department of Education. An additional supplementary sample was drawn from students attending Department of Defense Dependent Schools (DoDDS) located overseas. DoDDS students are not included in the data tapes distributed by NCES, however.

The Postsecondary Education Transcript Study for a sample of NLS-72 members and the members of the elder HS&B cohort was begun in July of 1984. It is designed to obtain reliable and objective information about types and patterns of courses taken by students in colleges, graduate schools, and non-collegiate postsecondary institutions. When the information is merged with the expanding NLS-72 and HS&B databases, it will be possible for researchers to relate course-taking patterns to student characteristics available in the student questionnaire data files, and to subsequent occupational choice and success. It will also enable researchers to analyze the characteristics of school leavers, of those who persist to graduation, and of those who continue beyond college to graduate education. A Postsecondary Education Transcript Study is planned for the HS&B sophomore cohort in 1986.

The Financial Aid Records Study

The collection of financial aid data from students and parents has been an integral part of High School and Beyond. In the past, these data have been compiled using students' reports of the financial aid they received. However, because the total amount of financial aid offered to an individual is frequently a package of funds from a variety of programs, students are not usually able to recall accurately the sources and amounts.

The pilot study for the Financial Aid Records Study was conducted in the fall of 1983. The purpose of the pilot study was to evaluate procedures for the collection of more accurate, consistant and objective financial aid data. A sample of 400 postsecondary schools attended by HS&B students participated in the pilot study.

Based on procedures developed during the pilot, the full-scale financial aid study is now being conducted. Data are being requested from all 2,500 postsecondary schools attended by HS&B students. The schools are expected to be the primary source of data on costs of attendance as well as estimated student and family contributions to student education. Schools are the only source of data for campus-based financial aid programs.

Guaranteed Student Loan Records are also being collected through the central data base maintained in the Office of Education. Pell Grant information is being obtained from the Pell Grant Office. Data from the three sources will be merged to provide a comprehensive profile of financial assistance.

INSTRUCTIONS
STUDENT FINANCIAL AID STUDY

STEP 1: REVIEW STUDENT CHECKLIST

The enclosed Student Checklist is a computer generated list of the students for whom financial aid records are being requested. Students are listed alphabetically by last name. Any available alternate names, such as maiden names, as well as social security numbers and birthdates, are also provided to help you identify individual students.

STEP 2: REVIEW SAMPLE STUDENT FINANCIAL AID FORM

This sample form specifies the particular items of financial aid information we would like to obtain on each student, if possible. As you review the form, you will see that the information requested is of these general types:

- Estimated annual cost of attendance
- Estimated available resources
- Estimated financial need
- Financial aid awarded
- Financial aid accepted

The academic years of interest are: 1980-81, 1981-82, 1982-83, and 1983-84.

STEP 3: RETRIEVE FINANCIAL AID RECORDS

From your files, please retrieve the student's financial aid records, providing as much of the requested information as possible. Schools differ in the types of forms and records used, so you will need to decide which documents provide the best information. Because adjustments are often made in a student's financial aid package, it is important to retrieve the <u>most recent</u> documents, those that indicate the aid that was finally made available to the student each year. In most schools, one or more of the following will provide the requested information:

- Student financial aid award letter
- Financial aid transcript, if student transferred
- Financial aid application forms, including those produced by services
- Worksheets used by financial aid office

STEP 4: RECORD STATUS ON STUDENT CHECKLIST

In the block for each student on the computer-generated Student Checklist, we have provided a space for you to indicate whether or not the student was enrolled in your school and whether she/he received financial aid during each academic year. This information is important for our evaluation of the data we receive. Please check the appropriate boxes and enter comments in the space provided.

(continued on back)

STEP 5: COPY FINANCIAL AID INFORMATION

Please choose the method of providing financial aid information which is most convenient for your staff. Suggested methods are described below.

- Transcribe relevant items: The Sample Student Financial Aid Form may be used as a guide in providing financial aid information. You may choose either:

  a) To enter financial aid information directly onto a copy of the sample form. (For your convenience, we have provided a copy of the form and a label for each student), or

  b) To use the sample form as a list of items to be copied on a separate sheet of paper.

- Photocopy Student Records: You may prefer to send photocopies of students' records rather than using the sample form.

- Produce a computer print-out: It may be most convenient to prepare a computer print-out of the requested information. If an existing program will print more information than requested, you may use that program and submit the additional data.

NOTE: If you choose not to fill out the sample form, please use a copy of the form as a "checklist" to help us interpret the information you send us. Place a checkmark (✓) next to each item (costs, resources, types of aid) covered by the records you are returning to us. Write "NA" for items that are not applicable to a student, and "U" if an item applies, but the information is unavailable in the files for that student.

STEP 6: INSERT DISCLOSURE NOTICE IN STUDENT RECORDS

Disclosure notices indicating the purpose for which student records were accessed are enclosed for your convenience.

STEP 7: SHIP MATERIALS TO WESTAT

Please send the completed checklist and the financial aid information for each student to Westat, using the enclosed pre-addressed, postage-paid label and envelope. The second copy of the checklist is for your files.

If you would like to be reimbursed for copying records, please complete and return all copies of the enclosed voucher. A check will be issued upon receipt of the records.

THANK YOU VERY MUCH!

ID #
NAME OF SCHOOL

NUMBER OF SAMPLED STUDENTS : 002

HIGH SCHOOL & BEYOND - FINANCIAL AID RECORDS STUDY
STUDENT CHECKLIST

INSTRUCTIONS: The students listed below reported attending your school during 1980-84. Please indicate the students' enrollment status and receipt of financial aid during each of these years. For each year that a student received aid, please send his/her financial aid information to Westat, according to the enclosed instructions. Separate the two copies of this checklist, return one copy to Westat and retain the second copy.

STUDENT IDENTIFICATION	ACAD YEAR	IN SCHOOL? YES	IN SCHOOL? NO	REC'D AID? YES	REC'D AID? NO	COMMENTS
001 LAST NAME : FIRST NAME: ALT NAME : SOC SEC NO: BIRTHDATE : HS&B ID :	80-81					
	81-82					
	82-83					
	83-84					
002 LAST NAME : FIRST NAME: ALT NAME : SOC SEC NO: BIRTHDATE : HS&B ID :	80-81					
	81-82					
	82-83					
	83-84					

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School: ______________________

Student Name: ______________________

SSN: ______________________

SAMPLE STUDENT FINANCIAL AID FORM

Costs and Resources[1]	1980-1981	1981-1982	1982-1983	1983-1984
1. Student Cost of Attendance[2]				
a. Tuition and Fees	$	$	$	$
b. Room and Board	$	$	$	$
c. Books and Supplies	$	$	$	$
d. Personal Expenses	$	$	$	$
e. Transportation	$	$	$	$
f. Other (specify) ______	$	$	$	$
g. Other (specify) ______	$	$	$	$
Estimated Total Costs	$	$	$	$
2. Resources				
a. Parental Contribution	$	$	$	$
b. Student Savings/Assets/Contributions	$	$	$	$
c. Student Summer Earnings	$	$	$	$
d. Other (specify) ______	$	$	$	$
e. Other (specify) ______	$	$	$	$
f. Other (specify) ______	$	$	$	$
Reported Total Resources	$	$	$	$
3. School Estimate of Need	$	$	$	$

CONTINUED ON OTHER SIDE

[1] Enter dollar amount, NA - not applicable, or U - information unavailable.

[2] May be standard amount used by school in financial aid determinations.

Sources of Financial Aid[1]	1980-1981	1981-1982	1982-1983	1983-1984
4. Scholarships and Grants				
a. Pell Grant/BEOG	$	$	$	$
b. Supplemental Educational Opportunity Grant (SEOG)	$	$	$	$
c. State Scholarship Program	$	$	$	$
d. College or University Scholarship	$	$	$	$
e. Scholarships from Private Organizations	$	$	$	$
f. Other scholarship or grant (specify) ______	$	$	$	$
g. Other (specify) ______	$	$	$	$
Total awarded:	$	$	$	$
Total accepted:	$	$	$	$
5. Loans				
a. National Direct Student Loan	$	$	$	$
b. Federal Guaranteed Student Loan Program	$	$	$	$
c. State Student Loan Program	$	$	$	$
d. College or University Loan Program	$	$	$	$
e. Regular Bank Loan	$	$	$	$
f. Other loan (specify) ______	$	$	$	$
Total Loans	$	$	$	$
6. Employment				
a. College Work-Study (CWSP)	$	$	$	$
b. Other (specify) ______	$	$	$	$
c. Other (specify) ______	$	$	$	$
7. Total Aid	$	$	$	$

[1] Enter dollar amount and check (/) if amount awarded was accepted. Enter NA - no award or U - award received but amount unavailable.

DISCLOSURE NOTICE
FINANCIAL AID RECORDS STUDY

______________________________ ______________________
(Student Name) (Date)

Information concerning the financial aid awards made to this student for the years 1980-84 has been provided to Westat, Inc., agent for the National Center for Education Statistics (NCES). This disclosure statement fulfills the requirements of provision 34 CFR 99.32 of the Family Educational Rights and Privacy Act (FERPA).

The Financial Aid Records Study is part of the High School and Beyond Study (HS&B) sponsored by NCES. This student is a participant in HS&B, and data from these records will be combined with others into statistical summaries and tables. No individually identifiable information will be released in any form.

HIGH SCHOOL AND BEYOND
FINANCIAL AID RECORDS STUDY
COPY REIMBURSEMENT FORM

SCHOOL NAME: ______________________________

MAILING ADDRESS: ______________________________

____

Number of photocopies: _____ @ _____ per copy = $______

OR

Reimbursement for other copying procedures:
special arrangements are necessary--contact
Nancy Caldwell at Westat (800) 638-8985 = $______

______________________________ ______________
(Signature of Financial Aid Officer) (Date)

Please return all copies of this form. One copy will be returned to you with your payment.

FOR WESTAT USE ONLY

Charge: 923900 Check#: ______ Date: ______

Approved by: Date: ______ Amount: $______

FICE Code or Serial #: ______

White copy to Accounting; Yellow copy to School; Pink copy to Project.

APPENDIX C

ASSEMBLY INSTRUCTIONS FOR REQUEST PACKAGE

FINANCIAL AID RECORDS STUDY

MAILOUT INSTRUCTIONS

All mailout materials will be placed in a school folder. The folders will be assembled in two stages. One group of mailers will work on stage 1, then pass their completed folders to the stage 2 group. The stage 2 group will finish assembling the folders and insert the materials in a mailing envelope. The mailing envelopes will be left unsealed so that their contents can be checked.

Stage 1:

During this stage, each school folder receives the same materials.

1. In the left pocket of the folder (labeled Endorsements and Introduction), insert one copy of each of the following, in the order listed.

- National Longitudinal Studies Program letter
- National Center for Education Statistics letter
- NASFAA letter
- Description of Longitudinal Studies Program pamphlet

2. In the right pocket of the folder (labeled Instructions and Forms), insert one copy of each of the following, in the order listed.

- Instructions sheet (on blue paper)
- Copy reimbursement form (on three-part paper).
- Business Reply envelope

Stage 2:

During this stage, each school receives different materials.

1. The Student Checklists are printed by computer on two-part paper. Both copies are sent to the school, so do not separate the two copies. Remove the school's Student Checklist page(s) from the stack.

2. Each school's Checklist has the number of students printed in the top right corner. Insert in the right pocket of the folder (behind the instruction sheet), one copy per student of the follwing:

- Student sample form
- Disclosure notice

3. Separate the student labels for the school and clip them to the Checklist. There will be one label for each student in the school.

4. Pull the school label and place it on the mailing envelope.

5. Insert the student checklist and student label(s) in the right pocket of the folder (behind the instruction sheet).

6. Place the folder in the labeled mailing envelope.

APPENDIX D

RECEIPT CONTROL MANUAL

High School and Beyond
Financial Aid Records Study

Receipt Control Manual

November, 1984

Overview

Records of all receipt control activities are maintained in the computerized data management system. A description of the system and procedures for its use is attached. The activities conducted during the receipt control operation are receipt of forms, postmaster return receipt, completed telephone followup, transmittals to and from data retrieval, and transmittals to and from key entry. The specific instructions for these activities follow.

Receipt of Forms by Mail

For each package of materials received from a school, these steps are followed:

1. Place all materials received from the school in a folder and attach the school label to the folder. The school label includes the FICE code, name, address, telephone number and number of students in the school.

2. Sort the materials by student. Staple all forms for a particular student together and be sure that the FICE code and student ID appears on every page. If the student label was used, check that the identifying information on the materials agrees with the label. If the student label was not used, copy the FICE code and student ID from the student checklist by comparing the name and social security number of the student. If the student checklist was not returned, the ID numbers are obtained from the printout of student information (see step #4).

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3. If the student checklist was returned, compare it to the student forms to determine whether materials were returned for every student who received financial aid. If some forms are missing, assign the status code partial complete (PC) for mail status and write the number of missing students on the checklist.

4. If no student checklist was returned, use the computer printout of student information sorted by school to determine whether materials were returned for every student. Record this information on a student checklist form (Exhibit 1) and place it in the school folder.

5. Assign the mail status code (Exhibit 2) and write it on the checklist.

6. In the management system, log the mail status. If the status is partial complete (PC), also log the number of missing students. If the status is duplicate or merged (DP or MR), log the duplicate or merged school's FICE code.

7. At the end of each day, run a listing of the FICE codes for school packages received that day. Send a copy of the list to the telephone center so that the school can be removed from the followup file.

Postmaster Returns

When a package is returned by the postmaster as undeliverable, these steps are followed:

1. Log the code of PR as mail status.

2. Attach a PMR record (Exhibit 3) to the package.

Exhibit 1

Student Checklist Form

FICE Code: ____________________

Number of sampled Students: __________

Status: ____________________

Number of missing students: __________

Student	Information Received
Student Number: ____________ HS&B ID: ____________	
Student Number: ____________ HS&B ID: ____________	
Student Number: ____________ HS&B ID: ____________	
Student Number: ____________ HS&B ID: ____________	
Student Number: ____________ HS&B ID: ____________	
Student Number: ____________ HS&B ID: ____________	

Exhibit 2

Mail Status Codes (MS)

Code	Definition
Request sent (RS)	A package was mailed to the school and no reply has been received.
Complete (CM)	Materials were received from the school with information on all sampled students.
Partial Complete (PC)	Materials were received from the school but information on some students is missing. Student information is missing if: • There was no information returned for that student; or • The checklist indicates that the student received financial aid but no financial aid information was returned.
Refusal (RF)	Respondent refused to participate.
Closed (CL)	The school was closed or out of business at the time of data collection.
Merged (MR)	The school merged with another school in the sample.

Duplicate (DP)	The same school is listed under more than one ID number.
Postmaster Return (PR)	The package was returned as undeliverable.
Other Nonresponse (OT)	The school did not participate for a reason not covered by the other status codes.

Exhibit 3

Postmaster Return Record

FICE Code: ______________________

Source 1: ______________________
Result 1: ______________________
____

Source 2: ______________________
Result 2: ______________________
____

Source 3: ______________________
Result 3: ______________________
____

Source 4: ______________________
Result 4: ______________________
____

Updated Information

Name: ______________________
Address: ______________________
City/State/Zip: ______________________
Phone #: ______________________

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3. Determine whether there is a new address for the school or confirm that the school is closed. Record each source used and the results of that source search on the PMR record. The sources for obtaining updated information are: ,

- The HEP 1984 Higher Education Directory;
- Chronicle Two-Year College Databook and Chronicle Four-Year College Databook;
- Long distance directory assistance; and
- A telephone call to the school.

4. If a corrected address is obtained, change the mail status to request sent (RS) and update the school address in the management system. Remail the package to the new address.

5. If the school is confirmed to be closed, update the mail status to CL.

Completed Telephone Followup

When the telephone followup is completed for a school, the followup form is returned to receipt control and these steps are followed:

1. Assign the telephone nonresponse status (Exhibit 4) to the telephone form.

2. Log the telephone nonresponse status in the management system.

3. If the respondent agreed to participate but needs a second package mailed (the status is AR), then log the coordinator's name, title and any address corrections.

Exhibit 4

Telephone Nonresponse Status (TN)

Code	Definition
Request sent (RS)	Telephone followup was requested but has not been completed.
Agreement, no remail needed (AG)	The respondent agreed to participate and does not require a remail.
Agreement, remail needed (AR)	The respondent agreed to participate and does require a remail.
Refusal (RF)	Respondent refused to participate.
Closed (CL)	The school was closed or out of business at the time of data collection.
Merged (MR)	The school merged with another school in the sample.
Duplicate (DP)	The same school is listed under more than one ID number.
Other Nonresponse (OT)	The school did not participate for a reason not covered by the other status codes.

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4. When a group of schools has been logged as requiring remailed packages, a set of updated labels and checklists will be produced. As the school labels are generated, the remail date will be entered into the management system by computer. The school labels will include the coordinator's name, title and address. Using these materials, remail the package to the schools.

5. File the telephone forms by status and FICE code.

Transmittals To and From Data Retrieval

When the coding staff identifies a school as requiring data retrieval, the school folder is returned to receipt control. First, the data retrieval status is logged as request sent (RS). Next, the number of students requiring data retrieval (those with problem sheets) is logged in the ND field. When a group of data retrieval forms has been logged, a batch transmittal listing is run and one copy of the list is sent with the batch to the telephone center.

When the data retrieval call has been completed, the case is returned to receipt control and these steps are followed:

1. Log the data retrieval status as complete (CM) or refused (RF).

2. If the data retrieval information was obtained over the phone and no further information is needed by mail, update the mail status to complete (CM) and file the case to be re-coded.

3. If more information is expected by mail, file the case to await receipt of the information or further followup.

Transmittals To and From Key Entry

When the coding forms for a school are ready for key entry, the key entry field is logged with the keypunch batch number. When an entire batch has been logged, a listing is run with the FICE code and number of students for each school. A copy of the list is sent with the batch to key entry.

When a batch is returned from key entry, the transmittal listing is checked against the forms to verify that all forms were returned.

HS&B Financial Aid Records Study
Computerized Data Management System

Description of Management File

1. INTRODUCTION

The purpose of the Financial Aid Records Study data management system is to keep track of the current status of all data collection and data preparation activities for each school in the study. These activities include initial and followup mailings, telephone followup, data retrieval, keypunching, and creation of the final data base. The system will also keep track of any updates made for general information about the school such as name, address, or other basic identifiers. Data management activities are referred to as TRANSACTIONS; transactions are updated when their current status or RESULT is changed. The current status of every transaction for each study school is stored on a management record, and the management file is made up of one management record for each school in the study.

An archival or transaction record is created concurrently with each transaction update; this record contains a summary of the update, the date on which the update was made, and the initials of the person who updated the transaction. The transaction file contains all of these transaction records. Summary reports of data management activities will be written from the transaction file.

The computerized data management system allows a user to:

- Update a transaction to a specified result code for a group of schools either manually or by a batch computer program;
- Update a group of transactions or identification information for a single school in the study; and
- List the current status of all data preparation transactions and identification information, and the date of last transaction for each school in the study.

Because the system is used interactively, several logic and range checks can be made before a transaction is updated. The system does not allow a user to:

- Update a transaction as having been finished before it was started;
- Start a transaction before all previous transactions were completed;
- Enter the wrong type of data in a field that has been defined as alpha, numeric, alphanumeric, or state; or
- Enter an invalid update code

The next section of this report discusses both the currently defined transactions in the data management file and the allowed chronological flow of transaction updates.

2. MANAGEMENT FILE

The fields in the management file are grouped into classes. In the Financial Aid Records Study, the classes are currently defined as:

- Identification information;
- Data Preparation Information;

Although the transaction fields are grouped into classes, all of the fields are located on the same management record.

2.1 IDENTIFICATION INFORMATION

Identification information for each school in the study will be maintained in the management file. This information consists of:

- SCHOOL ID (FICE CODE)
- SCHOOL'S NAME
- SCHOOL'S ADDRESS
- SCHOOL'S CITY
- SCHOOL'S STATE
- SCHOOL'S ZIP
- SCHOOL'S TELEPHONE NUMBER

- NUMBER OF HS&B STUDENTS IN THE SCHOOL
- FINANCIAL AID COORDINATOR'S NAME
- FINANCIAL AID COORDINATOR'S TITLE
- FINANCIAL AID COORDINATOR'S ADDRESS

Each of these fields, except school ID number, can be updated interactively using the management program. Each field has a restriction of the type of data to which it may be updated.

School's name, school's city and coordinator's name and title must be alpha. School's zip, school's telephone number, and number of students must be numeric. School's address and coordinator's address can be any alphnumeric, and school's state must be a valid state code.

2.2 DATA PREPARATION INFORMATION

The following fields for data preparation information are currently included in the management file:

- Da.. of latest data preparation information
- Mail status code (MS)
- Number of missing student(s), used if mail status = Partial complete (NM)
- Telephone nonresponse status (TN)
- Telephone data retrieval status (TD)
- Number of students requiring data retrieval (ND)
- Date of first remail
- Date of second remail
- Duplicate or merged school ID# (DM)
- Keypunch batch number (KP)

The DATE OF LATEST DATA PREPARATION INFORMATION field records the latest date on which any data preparation information was updated.

MAIL STATUS (MS) is used to record the initial mail-out of the package and the result of the mailing. The update sequence for the allowable result codes for MAIL STATUS is defined as follows:

(blank)

|RS|

|CM| |PC| |RF| |CL| |OT| |MR| |DP| |PR|

where RS = REQUEST SENT, CM = COMPLETE PACKAGE RETURNED (all student information), PC = PARTIAL COMPLETE (not all student information returned), RF = RESPONDENT REFUSED, CL = CLOSED SCHOOL (OUT OF BUSINESS), OT = OTHER NONRESPONSE, MR = MERGED, DP = DUPLICATE, and PR = POSTMASTER RETURN.

The transaction NUMBER OF MISSING STUDENTS (NM) is used to record the number of students missing from the received package if MAIL STATUS (MS) = PARTIAL COMPLETE (PC). The allowable result codes are any three digit numbers. A number greater than zero can only be entered if MAIL STATUS = PC.

The TELEPHONE NONRESPONSE STATUS (TN) is used to record the results of the nonresponse followup. The update sequence for the allowable result codes is:

Blank

RS

AG AR RF CL OT MR DP

Where AG = AGREEMENT TO PARTICIPATE, no remail necessary; AR = AGREEMENT TO PARTICIPATE, remail package; RF = RESPONDENT REFUSED; CL = CLOSED SCHOOL; OT = OTHER NONRESPONSE; MR = MERGED SCHOOL; DP = DUPLICATE SCHOOL

The field TELEPHONE DATA RETRIEVAL STATUS (TD) is used to record the results of followup for missing student information. It can have the code REQUEST SENT (RS) entered when the field is blank. The codes COMPLETE (CM), REFUSED (RF), and NON RESPONSE (NR) can be entered when the code is currently REQUEST SENT (RS). It can only be updated if the MAIL STATUS = CM or PC.

The transactions DATE OF FIRST REMAIL and DATE OF SECOND REMAIL will be updated by computer when the mailing labels are generated. Mailing labels will be generated in batches for cases with TELEPHONE NONRESPONSE STATUS (TN) = AR.

Duplicate or merged school ID (DM) will be used for cases coded status DP or MR.

The transaction KEYPUNCH BATCH (KP) can have any numeric batch number entered into it. However, no batch number can be entered until the result code COMPLETE (CM) appears in the MAIL STATUS (MS) field.

2.3 MANAGEMENT FILE MODIFICATION

All of the management file fields, corresponding result codes, and update sequences are defined outside of the computer program. This feature allows a data manager to define any set of necessary transaction fields for the Financial Aid Records study. Although it is preferable to select all of the fields before the system is used, transaction fields can be added after the study has started. The allowed result codes and update sequences can be easily modified after the study has begun.

APPENDIX E

TELEPHONE TRAINING MANUAL

High School and Beyond Financial Aid
Records Study - 923900

Telephone Training Manual

December, 1984

1. Introduction

Westat is conducting the High School and Beyond Financial Aid Records Study for the National Center for Education Statistics. The purpose of the study is to obtain objective, accurate financial aid data from the institutions that maintain records of student awards and educational expenses.

The Financial Aid Records Study is a component of the High School and Beyond Study (HS&B), a large scale, longitudinal study that NCES has been conducting since 1980, when nationally representative samples of the high school classes of 1980 and 1982 were surveyed initially. These two classes (cohorts) are to be resurveyed at two year intervals throughout the decade of the 1980s. In the HS&B Second Followup Survey (1984), some 8,000 members of the class of 1980 reported attending over 2,500 post-secondary schools.

Until now, all financial aid data for the HS&B Study have been obtained from the information reported on student questionnaires. However, since the financial aid offered to a student is frequently a package of funds from a variety of sources, students often cannot recall the specific sources and amounts. Therefore, we are now contacting the schools attended by HS&B sample members to obtain this information from their records. Each school is being requested to send us financial aid information for the academic years 1980-81, 81-82, 82-83, and 83-84 for each sample member. Most schools in the study are colleges or universities; however, some are vocational, technical, trade, or business schools.

Westat mailed each school in the study a pack of information and study forms during November 19-26. The package was addressed to "Financial Aid Administrator", not to an individual. Included in the package was general information about the study, a list of the students for whom we are requesting data, and all necessary instructions. Schools were requested to return the materials to us by December 14, if possible.

The purpose of this telephone effort is to determine whether the package was received, to find out whether the respondent has any problems participating in the study, and to record the name of the person who will be handling the data collection at the school.

2. The Interviewer's Role

The primary purpose of the telephone calls that you will be making is to find out whether or not the Financial Aid Administrator, or some other appropriate person, received the packet of forms we mailed. Because we did not know the Financial Aid Administrator's name, the packet was not addressed to a particular person. The address the packet was sent to may have been a main campus address, and the packet may not have been forwarded to the Financial Aid Office. Even if the packet went to the Financial Aid Office, it could have been misplaced and not given to the Administrator.

For all these reasons, you will be calling to make sure that our materials got to the person who can fill them out for us. In a small pretest that was done last year, packets had to be remailed to half the schools. If you determine that the materials were not received or were misplaced, you will find out the name and complete address of the person to whom the remail packet should be sent.

A second purpose of your calls will be to ask whether or not the Administrator has any questions about the materials. In the training session, and before you begin calling, you will review the study materials and responses to frequently asked questions. You should feel comfortable with these materials before you begin calling. You will then be able to answer most questions easily and briefly. However, if someone asks a question that you are unprepared to answer, you will record the question and explain that you will have the field director call. A suggested approach in this situation is given in Section 3.

The third, important purpose of your call is to thank the person with whom you speak for taking the time to participate in this study.

3. Special Considerations

This study may be different from others that you have worked on in a very important way: although the "questionnaire" guides you, you will have to determine whether you have the correct person in the Financial Aid Office and you will have to be flexible in responding to their questions.

Timing of Calls

The packets of materials which were sent to the schools you will be calling, were mailed sometime between November 19-26. Given delays in local post offices, as well as campus mail delays, some packets may not have arrived until last week. We do not want to antagonize our respondents by suggesting in any way that we consider them to be nonrespondents.

This is particularly true because we requested that they return the packets to us by December 14, but also stated that this was a request to be met if convenient to them. So, as mentioned before, we are calling now because of the pretest experience which indicated that so many packets never got to the right person. Further, you are beginning your calls prior to December 14 because of the holiday season. We expect that most schools will not be in session from around December 21 until early January. So, we needed to begin calling so that we could reach everyone before they went away for the holiday break.

Because you are beginning to call soon after the packets were mailed, you may encounter some people who tell you that they did send it back or that they just spoke with Westat about the study. Ask when they sent the materials back and be sure to record the name of the person you spoke with. Then, apologize for bothering them and thank them for participating. We will try to pull responding schools from your assignments but there will be times when we can't. Also, we have tried to pull schools that have called to ask questions, but we may have missed one or two.

Answering Questions

We expect that the information we give you in training, and your thorough review of the study materials, will prepare you to answer most of the questions asked by the Administrators. However, if someone asks a question that you are not prepared to answer, we suggest you respond in the following way:

> "That's a very good question and I'm not sure about the correct answer. I will explain your question to Nancy Caldwell and Cindy Gray, the senior field staff. One of them will call you later today or tomorrow, if thats all right with you.
>
> As I understand it, the question you want them to answer is:_____________________. Is that correct? I'll give this message to the field staff right away."

Be sure to record the question in detail and to get the person's name and telephone number so that we can call them back. Also, if the Administrator specifies a particular time that he/she wants to be called back, be sure to note this, plus any other comments from your conversation that will help us to respond effectively.

If some questions which we did not think of seem to be asked frequently, we will have responses distributed to you so that you will be able to handle them.

Who is your respondent

You will ask for the Financial Aid Administrator. If she/he is unavailable, you can explain why you are calling to the person answering the telephone in the financial aid office and ask if anyone else might know if the packet was received. In this way, you may end up talking with several people in the office.

If someone other than the Administrator can confirm that the package was received, you do not need to speak with the Administrator. Indeed, someone else may have been designated to prepare the information for us. If so, you will want to speak with him/her to see if he/she has any questions. If the Administrator has the packet and he/she is unavailable, leave a message that you called and that if they have any questions they should call Westat.

If people in the Financial Aid Office are not sure whether the packet was received or if they say that it was not, you do need to confirm this with the Administrator. The packet was addressed to him/her and we do not want to remail unless necessary. Not only is remailing time-consuming and expensive for us, but it is also confusing and frustrating to Administrators to receive two identical packets.

4. Suggested Answers to Questions and Statements Made by Financial Aid Administrators

"What is Westat?"

Westat is an independent research firm located in Rockville, Maryland. Westat has been contracted by the National Center for Education Statistics to conduct this study.

"What is the National Center for Education Statistics?"

It is an agency within the Federal Department of Education, located in Washington, D.C. NCES initiates studies to collect information about all aspects of education.

"What is High School and Beyond?

The High School and Beyond Study is a large scale, longitudinal study that NCES has been conducting since 1980. It consists of nationally representative samples of the high school classes of 1980 and 1982. (A description of High School and Beyond and the National Longitudinal Studies Program is included in the mail package).

"How will this information be used?" or "What is the purpose of this study?"

The purpose is to obtain financial aid data from school records for students participating in the High School and Beyond Survey. The goal is to provide information on sample survey members which can be aggregated to examine research issues at the national level. (More information is included in the mail package.)

"Why can't financial aid information be obtained directly from students?"

In the past, financial aid data for the High School and Beyond Study have been obtained only from the students. However, the total amount of financial aid offered to a student is frequently a package of funds from a variety of programs. Therefore, students are not usually able to recall accurately the specific sources and the amount of aid from each source.

"Student financial aid information is confidential."

Westat has been authorized by the National Center for Education to collect this data. The grant of authority for NCES to collect financial aid data is made pursuant to the provision in the Family Education Rights and Privacy Act (FERPA), that allows the release of records to the Secretary of Education or to his agent without the prior consent of the survey participants. The privacy of the information you are asked to supply to Westat will be protected, as required by FERPA. (A letter of authorization from NCES and a copy of the relevant sections of FERPA, is included in the mail package.)

"Why do you need identifying information on the student financial aid records?"

Student names are used only to make sure that information from different sources (tests, questionnaires and financial aid forms) refer to the same individuals and not to find out anything about particular individuals.

"We already participated in this study last year."

A pilot study for this survey was conducted in the fall of 1983. Your school may have been one of the 400 schools that participated in the pilot. However, the information we are now requesting differs from the pilot in two ways. First, we are now requesting data for an additional year, 1983-84. Second, there may be additional students for whom we are requesting information. Therefore, we would appreciate your participation, even though you may have provided some of this information during the pilot study.

"Where do I include information on financial aid received during the summer?"

Each academic year included in this study is considered to begin in the fall and continue through the summer of the following year. Therefore, the summer of 1981 is included in 80-81, the summer of 1982 is included in 81-82, etc.

"We have no record for one of the students on our checklist."

If you know that the student was not enrolled during our study period, then check the no box for each appropriate year in the "In School?" column. However, if you have no information on a student at all, write "No record" in the comments space.

High School and Beyond
Financial Aid Study

Part I

A. ASK FOR THE FINANCIAL AID ADMINISTRATOR

B. Hello. My name is _______________ and I'm calling about the High School and Beyond Financial Aid Study. The study is sponsored by the National Center for Education Statistics. We recently sent a package of information on the study to your office. Do you know whether the package was received?

☐ YES, package received (GO TO PART II)
☐ NO, R not aware of package (GO TO C BELOW)

C. IF R IS NOT AWARE OF THE PACKAGE, ASK:

The package was addressed to "Financial Aid Administrator". Is there someone else I should speak with who may have received it?

(1) IF R CONNECTS YOU TO SOMEONE ELSE, GO BACK TO INTRO(B).

(2) IF PERSON WHO WOULD HAVE RECEIVED THE PACKAGE IS NOT AVAILABLE, MAKE AN APPOINTMENT TO CALL BACK.

Name to call: ______________________________

Appt: ______________________________

(3) IF R CONSULTS COWORKERS AND PACKAGE WAS NOT RECEIVED, GO TO PART III.

Part II

PACKAGE WAS RECEIVED

A. The reason I am calling is to verify that the package was received and to find out whether you had any questions. Do you have any questions about the study?

B. Do you forsee any problems in obtaining this information and returning it to Westat?

C. Could I have your name and title for our records?

NAME OF CONTACT: ____________________

TITLE: ____________________

PHONE #: ____________________

D. Thank you very much for participating in this study.

Comments: ____________________

Part III

PACKAGE NOT RECEIVED

A. As I mentioned earlier, this is a study requesting financial aid information for those students who reported attending your institution and who are participating in a large longitudinal study sponsored by NCES. The number of such students in your school is (# from label) . This national study is endorsed by NASFAA and other professional organizations.

B. Since you did not receive the study package, we will send another right away. Should it be sent to you or to someone else? (Record name below) And where should it be sent?

NAME:________________________ TITLE:________________________

ADDRESS:____

C. Thank you very much. We appreciate your cooperation in this study.

Comments:____

APPENDIX F

SECOND FOLLOWUP TELEPHONE TRAINING MANUAL

High School and Beyond Financial Aid Records Study - 923900

Telephone Training Manual

Second Followup

January, 1985

1. Introduction

Westat is conducting the High School and Beyond Financial Aid Records Study for the National Center for Education Statistics (NCES). The purpose of the study is to obtain objective, accurate financial aid data from the institutions that maintain records of student awards and educational expenses.

The Financial Aid Records Study is a component of the High School and Beyond Study (HS&B), a large scale, longitudinal study that the National Opinion Research Center has been conducting for NCES since 1980, when nationally representative samples of the high school classes of 1980 and 1982 were surveyed initially. These two classes (cohorts) are to be resurveyed at two year intervals throughout the decade of the 1980s. In the HS&B Second Followup Survey (1984), some 8,000 members of the class of 1980 reported attending over 2,500 postsecondary schools.

Until now, all financial aid data for the HS&B Study have been obtained from the information reported on student questionnaires. However, since the financial aid offered to a student is frequently a package of funds from a variety of sources, students often cannot recall the specific sources and amounts of aid they received. Therefore, under a subcontract with NORC, Westat is now contacting the schools attended by HS&B sample members to obtain this information from their records. Each school is being requested to send us financial aid information for the academic years 1980-81, 81-82, 82-83, and 83-84 for each sample member. Most schools in the study are colleges or universities; however, some are vocational, technical, trade, or business schools.

Westat first mailed each school in the study a package of information and study forms during November 19-26, 1984. The package was addressed to "Financial Aid Administrator", not to an individual. Included in the package was general information about the study, a list of the students for whom we are requesting data, and all necessary instructions. Schools were requested to return the materials to us by December 14, if possible.

The first set of followup calls began on December 11. Most (first followup) calls were completed by December 21. However, those not completed before Christmas were called between January 2 and 15th, 1985. The purpose of the first telephone effort was to determine whether the package was received, to find out whether the respondent had any problems participating in the study, and to record the name of the person who would be handling the data collection at the school.

Those Financial Aid Administrators contacted during the first followup call who reported that they could not locate the package of study materials were mailed a second package.

We are now ready to begin second followup calls. The purpose of the second set of followup calls is to encourage response by mail, answer the Administrator's questions, and when appropriate, determine whether the second package was received.

2. The Interviewer's Role

The primary purpose of the telephone calls that you will be making is to encourage response to the study by mail. You will be asking the Administrator whether he/she can return the study material within two weeks. If this is not possible, you will record the reasons and ask for an estimated completion date. It is important not to antagonize the Administrator by pushing for completion within two weeks, if this presents difficulties. It is especially important that the Administrator not think that the information is useless to us if it is sent more than two weeks from now. Ask when the package will be sent in order to get a commitment from the Administrator and so that we know when to expect the package.

A second purpose of your calls will be to answer the Administrator's questions about the materials. In the training session, and before you begin calling, you will review the study materials and responses to frequently asked questions. You should feel comfortable with these materials before you begin calling. You will then be able to answer most questions easily and briefly. However, if someone asks a question that you are unprepared to answer, you will record the question and explain that you will have the field director call. A suggested approach to this situation is given in Section 3.

The third purpose of your call applies only to those schools that were mailed a second package. For these cases, you must first determine whether the second package was received. You may need to trace the whereabouts of the package with the Administrator. Encourage him/her to offer suggestions as to why the package was not received. Offer to call back to allow the Adminstrator time to trace the package. However, if all of these efforts to locate the package fail, we will mail a third package.

3. Special Considerations

This study may be different from others that you have worked on in a very important way: although the "questionnaire" guides you, you will have to determine whether you have the correct person in the Financial Aid Office and you will have to be flexible in responding to their questions.

Maintaining Administrator's Cooperation

One of your most important jobs during these calls is maintaining the Administrator's cooperation. Most respondents are cooperative and want to participate, but they may have specific problems which need to be addressed. We want to work with the respondents to determine when they estimate completion of the study. Keep in mind that we may need to contact them again for data retrieval and during later phases of the Financial Aid Records Study.

You may encounter some people who tell you that they have already returned the package, or that they just spoke with Westat about the study. Ask when they sent the materials back and be sure to record the name of the person you spoke with. Then, apologize for bothering them and thank them for participating. We will try to pull responding schools from your assignments but there will be times when we can't. Also, we have tried to pull schools that have called to ask questions, but we may have missed one or two.

Answering Questions

We expect that the information we give you in training, and your thorough review of the study materials, will prepare you to answer most of the questions asked by the Administrators. However, if someone asks a question that you are not prepared to answer, we suggest you respond in the following way:

"That's a very good question and I'm not sure about the correct answer. I will explain your question to Nancy Caldwell and Cindy Gray, the senior field staff. One of them will call you later today or tomorrow, if that is all right with you.

As I understand it, the question you want them to answer is:______________________. Is that correct? I'll give this message to the field staff right away."

Be sure to record the question in detail and to get the person's name and telephone number so that we can call them back. Also, if the Administrator specifies a particular time that he/she wants to be called back, be sure to note this, plus any other comments from your conversation that will help us to respond effectively.

Keep these cases in a separate pile. When you finish for the day, rubber-band these cases together and label them "Attention field Staff" and give them to your supervisor who will give them to us. If a person has requested a same day call back, give the case to your supervisor immediately, pointing this out to her.

If some questions which we did not think of seem to be asked frequently, we will have responses distributed to you so that you will be able to handle them.

Who is your respondent

You will ask for the person who was contacted during the first followup. If that person is not available, make an appointment to call back. Dealing with the same person during all followup contacts reduces confusion for us and the school. However, there are some situations where it will be necessary for you to contact someone else.

If the original respondent has left the Financial Aid Office or will not be available during the time we are calling (through about February 13), you must determine who the new contact should be. First, explain why you are calling. The study may have been turned over to someone else. Next, ask who is handling the original respondent's duties, especially who would be receiving his/her mail. If it is still not clear who you should be contacting, ask to speak to the Financial Aid Administrator (if this person is not your first respondent) or to someone else who would be able to help you.

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4. Suggested Answers to Questions and Statements Made by Financial Aid Administrators

"What is Westat?"

Westat is an independent research firm located in Rockville, Maryland. Westat has been contracted by the National Center for Education Statistics to conduct this study under a subcontract with the National Opinion Research Center.

"What is the National Center for Education Statistics?"

It is an agency within the Federal Department of Education, located in Washington, D.C. NCES initiates studies to collect information about all aspects of education.

"What is High School and Beyond?

The High School and Beyond Study is a large scale, longitudinal study that NCES has been conducting since 1980. It consists of nationally representative samples of the high school classes of 1980 and 1982. (A description of High School and Beyond and the National Longitudinal Studies Program is included in the mail package).

"How will this information be used?" or "What is the purpose of this study?"

The purpose is to obtain financial aid data from school records for students participating in the High School and Beyond Survey. The goal is to provide information on sample survey members which can be aggregated to examine research issues at the national level. (More information is included in the mail package.)

"Why can't financial aid information be obtained directly from students?"

In the past, financial aid data for the High School and Beyond Study have been obtained only from the students. However, the total amount of financial aid offered to a student is frequently a package of funds from a variety of programs. Therefore, students are not usually able to recall accurately the specific sources and the amount of aid they received from each source.

"Student financial aid information is confidential."

Westat has been authorized by the National Center for Education to collect this data. The grant of authority for NCES to collect financial aid data is made pursuant to the provision in the Family Education Rights and Privacy Act (FERPA), that allows the release of records to the Secretary of Education or to his agent without the prior consent of the survey participants. The privacy of the information you are asked to supply to Westat will be protected, as required by FERPA. (A letter of authorization from NCES and a copy of the relevant sections of FERPA, is included in the mail package.)

"Why do you need identifying information on the student financial aid records?"

Student names are used only to make sure that information from different sources (tests, questionnaires and financial aid forms) refer to the same individuals and not to find out anything about particular individuals. The confidentiality of data is safeguarded at Westat. Personally identifying information will be deleted from the data files once matching is complete.

"We already participated in this study last year."

A pilot study for this survey was conducted in the Fall of 1983. Your school may have been one of the 400 schools that participated in the pilot. However, the information we are now requesting differs from the pilot in two ways. First, we are now requesting data for an additional year, 1983-84. Second, there may be additional students for whom we are requesting information. Therefore, we would appreciate your participation, even though you may have provided some of this information during the pilot study.

"Where do I include information on financial aid received during the summer?"

Each academic year included in this study is considered to begin in the fall and continue through the summer of the following year. Therefore, the summer of 1981 is included in 80-81, the summer of 1982 is included in 81-82, etc.

"We have no record for one of the students on our checklist."

If you know that the student was not enrolled during our study period, then check the "no" box for each appropriate year in the "In School?" column. However, if you have no information on a student at all, write "No record" in the comments space.

High School and Beyond Financial Aid Study

Second Followup Call
First Package Received

A. REVIEW THE FIRST FOLLOWUP CALL RECORD. COPY FIRST CONTACT INFORMATION (PART II, C) BELOW:

NAME OF FIRST CONTACT: ____________________

TITLE: ____________________

PHONE NUMBER: ____________________

B. ASK FOR THE PERSON FIRST CONTACTED. IF SOMEONE ELSE IS NOW HANDLING THE STUDY, RECORD NAME AND TITLE BELOW:

NAME OF NEW CONTACT: ____________________

TITLE: ____________________

PHONE NUMBER: ____________________

C. Hello. My name is ______________________ and I am calling about the High School and Beyond Financial Aid Study. A few weeks ago someone from our office spoke to you about the study. At that time, you had received the package of study materials and agreed to complete it. We realize this is a busy time for you, but if possible, we would like to have the requested data within the next two weeks.

Do you forsee any problems in obtaining this information and returning it to Westat within the next two weeks?

|__| NO PROBLEMS, WILL SEND WITHIN 2 WEEKS (GO TO E)
|__| PROBLEM, WILL NOT SEND WITHIN 2 WEEKS (GO TO D)

D. WRITE RESPONDENT'S PROBLEM IN COMMENTS AND ASK:

When could you send us the information: DATE:____________

E. Thank you very much. We appreciate your cooperation in this study.

COMMENTS:____

High School and Beyond Financial Aid Study

Second Followup Call
First Package Not Received

A. REVIEW THE FIRST FOLLOWUP CALL RECORD. COPY FIRST CONTACT INFORMATION (PART III, B) BELOW:

NAME OF FIRST CONTACT: ______________________________

TITLE: ______________________________

PHONE NUMBER: ______________________________

B. ASK FOR THE PERSON FIRST CONTACTED. IF SOMEONE ELSE IS NOW HANDLING THE STUDY, RECORD NAME AND TITLE BELOW:

NAME OF NEW CONTACT: ______________________________

TITLE: ______________________________

PHONE NUMBER: ______________________________

C. Hello. My name is ______________________ and I am calling about the High School and Beyond Financial Aid Study. A few weeks ago someone from our office spoke to you about the study. At that time, you had not received the study package, so we mailed a second package on ________________. Did you receive this package?

|__| YES, PACKAGE RECEIVED (GO TO D)
|__| NO, PACKAGE NOT RECEIVED (GO TO F)

D. We realize that this is a busy time for you, but if possible, we would like to have the requested data within the next two weeks.

Do you forsee any problems in obtaining this information and returning it to Westat within the next two weeks?

|__| NO PROBLEMS, WILL SEND WITHIN 2 WEEKS (GO TO G)
|__| PROBLEM, WILL <u>NOT</u> SEND WITHIN 2 WEEKS (GO TO E)

E. WRITE RESPONDENT'S PROBLEM IN COMMENTS AND ASK:

When will you send us the information: DATE:______________

(GO TO G)

F. IF SECOND PACKAGE <u>NOT</u> RECEIVED, TRY TO TRACE IT WITH THE RESPONDENT USING THE GUIDES BELOW:

- Let me tell you how the package was addressed. READ NAME AND ADDRESS FROM FIRST FOLLOWUP RECORD (PART III B), <u>NOT FROM ADDRESS LABEL</u>.
- Could the package have been received by someone else?
- Could the package be delayed by inter-campus or university mail?

|__| THE RESPONDENT WILL TRY TO LOCATE PACKAGE OR THINKS IT WILL ARRIVE IN A FEW DAYS. MAKE AN APPOINTMENT TO CALL BACK.

APPT: ______________________________

|__| THE PACKAGE CANNOT BE FOUND, MUST BE REMAILED. WRITE NAME AND ADDRESS BELOW.

NAME: ______________ TITLE: ______________

ADDRESS: ______________________________

G. Thank you very much. We appreciate your cooperation in this study.

COMMENTS: ______________________________

APPENDIX G

THIRD FOLLOWUP TELEPHONE TRAINING MANUAL

High School and Beyond Financial Aid
Records Study - 923900

Telephone Training Manual

Third Followup

March, 1985

1. Introduction

Westat is conducting the High School and Beyond Financial Aid Records Study for the National Center for Education Statistics (NCES). The purpose of the study is to obtain objective, accurate financial aid data from the institutions that maintain records of student awards and educational expenses.

The Financial Aid Records Study is a component of the High School and Beyond Study (HS&B), a large scale, longitudinal study that the National Opinion Research Center has been conducting for NCES since 1980, when nationally representative samples of the high school classes of 1980 and 1982 were surveyed initially. These two classes (cohorts) are to be resurveyed at two year intervals throughout the decade of the 1980s. In the HS&B Second Followup Survey (1984), some 8,000 members of the class of 1980 reported attending over 2,500 postsecondary schools.

Until now, all financial aid data for the HS&B Study have been obtained from the information reported on student questionnaires. However, since the financial aid offered to a student is frequently a package of funds from a variety of sources, students often cannot recall the specific sources and amounts of aid they received. Therefore, under a subcontract with NORC, Westat is now contacting the schools attended by HS&B sample members to obtain this information from their records. Each school is being requested to send us financial aid information for the academic years 1980-81, 81-82, 82-83, and 83-84 for each sample member. Most schools in the study are colleges or universities; however, some are vocational, technical, trade, or business schools.

Westat first mailed each school in the study a package of information and study forms during November 19-26, 1984. The package was addressed to "Financial Aid Administrator", not to an individual. Included in the package was general information about the study, a list of the students for whom we are requesting data, and all necessary instructions. Schools were requested to return the materials to us by December 14, if possible.

The first set of followup calls began on December 11. Most (first followup) calls were completed by December 21. However, those not completed before Christmas were called between January 2 and 15th, 1985. The purpose of the first telephone effort was to determine whether the package was received, to find out whether the respondent had any problems participating in the study, and to record the name of the person who would be handling the data collection at the school.

Those Financial Aid Administrators contacted during the first followup call who reported that they could not locate the package of study materials were mailed a second package.

The second set of followup calls was conducted during the month of February. The purpose of the second set of followup calls was to encourage response by mail within two weeks, answer the Administrator's questions, and when appropriate, determine whether the second package was received.

We are now ready to begin the third set of followup calls. These calls will follow a different approach than was used for the previous two followup attempts. Instead of encouraging response by mail only, you will obtain some survey information over the phone. A specific description of this approach is given in the next chapter.

2. The Interviewer's Role

2.1 Overview

You will be calling schools that have been contacted previously. You will ask, first, for the person with whom the prior contacts were made. If that person is unavailable, then you will ask for the Financial Aid Administrator. The school should have received at least one package of FARS materials. However, the person you talk to may or may not be familiar with the package. Further, he/she may or may not be able to find the package in the office.

Your job is to obtain as much information as possible about the financial aid status of the High School and Beyond sample students. As you read through the steps in completing calls (Section 2.2) and the example scripts (attachment), you will notice that you will be seeking three elements of information:

1. For each student listed on the Student Checklist, does the school have any record that the student received financial aid during any of the academic years 1980-81, 1981-82, 1982-83, or 1983-84.

   If the financial aid office has no record whatsoever of the student <u>or</u> the office records indicate that the student received no aid during the 1980-1984 period, you will record this information on the Student Checklist. Our information is then complete for that student.

2. If the financial aid office records indicate that the student did receive financial aid during 1980-84, we need to obtain the most recent information the school has on the aid actually received by the student. The school can furnish this information in one of three ways:

   a. By xeroxing the appropriate information from the student's file,

b. By filling out a copy of the sample student form in the package of materials we sent, or

c. By giving you the information over the telephone so you can fill out the appropriate items in the sample form.

Assure the school staff that we realize that they may not have the level of detail itemized on the sample form. We want whatever information they can give us.

Also, if the financial aid staff decides to xerox materials or fill out the sample form, make sure they do have our materials and instructions. If not, make arrangements to mail these materials immediately via Express Mail or other overnight service.

3. The final type of information we would like to obtain is cost of attending the institution. We are interested in this information regardless of whether any High School and Beyond students received financial aid.

The financial aid office may have standard budgets they use to estimate costs in determining need for financial aid. If so, we would like to obtain these budgeting figures in the available level of detail for the four academic years, 1980-1984.

If the financial aid office does not have this information, they may be able to refer us to the appropriate source (registrar's office, etc.). We ask for this information last because we do not want to jeopardize obtaining financial aid data. Do not push too hard for this information.

2.2 Outline of the Steps in Completing Contacts

Depending on the number of HS&B students who reported attending the school, you will either (1) try to get complete infomation on every student during your initial telephone contact, (2) give the person time to assemble information on all students by scheduling an appointment to call back for the financial aid information or (3) review the purposes of the study and mail another package of forms to the respondent via Express mail or another overnight service. The steps you will follow in each of these situations are outlined in the following sections.

- The school has only one or two HS&B students. This is the situation in most of the schools you will be calling. If the school only has one or two HS&B students, it is probable that none of the students received aid. So, you will try to get complete information on the students by telephone during your initial contact. The steps in completing calls to these schools are:

  1. Locate respondent.

  2. Introduce yourself and purpose of call.

  3. Explain that it may be possible to obtain all needed information by telephone at this time.

  4. Ask respondent to find out whether the HS&B students listed on the checklist received financial aid. (Read names and SSN's if necessary), and if so, to pull their files.

  5. Record on checklist each student's financial aid status.

  6. If any student received financial aid, try to fill out a sample student form by telephone during this call. If necessary, schedule an appointment to call back.

  7. Ask how we can get information on costs of attendance. Obtain cost information if possible.

  8. Thank respondent for participating.

- The school has 3-14 HS&B sample students. Since these schools have a fair number of HS&B students, chances are that one or more of these students will have received financial aid. Therefore, the school will probably have to spend more time assembling financial aid information. You will review the list of HS&B students with the respondent and then schedule a time to call back to get the requested information. If the respondent is not familiar with the FARS materials, you will send a package via Express Mail or other overnight service. The steps in completing calls to schools attended by 3-14 HS&B students are:

1. Locate respondent

2. Introduce yourself and purpose of call.

3. Explain that it may be possible to obtain all needed information by telephone.

4. Ask respondent to find out whether the HS&B students listed on the checklist received financial aid and if so, to pull their files. (Read names and SSN's if necessary).

5. Schedule appointment to call back for this information.

6. Record on checklist each student's financial aid status.

7. Make arrangements with school to obtain financial aid information for any students who received aid during 1980-84. Offer to reimburse photocopying costs.

8. Ask how we can get information on costs of attendance. Obtain cost information, if possible.

9. Thank respondent for participating.

- The school has 15 or more HS&B students. Only 25 nonresponding schools are in this category. Obviously, with so many students, even reading names and SSN's would be very time consuming. With these schools, you need to do two things. First, find out what their reasons for not responding have been. Perhaps we can do something to help (pay for staff time, xeroxing costs, etc.). Second, if the school does not have a copy of the study materials, make arrangements to Express Mail materials to the school and to call the respondent back to review them. The steps in completing calls with these schools with large numbers of HS&B students are:

1. Locate respondent.

2. Introduce yourself and purpose of call. Emphasize the importance of the study and offer to help defray costs of photocopying and staff time.

3. Remind respondent that not all students will have received aid.

4. Make arrangments to Express Mail another package of materials, if the school does not have a copy.

5. Schedule appointment to call back to review materials and answer questions.

6. Make arrangements with school to obtain financial aid records of those students who received aid during 1980-84.

7. Ask how we can get information on costs of attendance. Obtain cost information if possible.

8. Thank respondent for participating.

3. Special Considerations

This study may be different from others that you have worked on in a very important way: although the "questionnaire" guides you, you will have to determine whether you have the correct person in the Financial Aid Office and you will have to be flexible in responding to their questions.

3.1 Maintaining Administrator's Cooperation

One of your most important jobs during these calls is maintaining the Administrator's cooperation. Most respondents are cooperative and want to participate, but they may have specific problems which need to be addressed. We want to work with the respondents to obtain the information we need in the way that is easiest for them. Keep in mind that we may need to contact them again for data retrieval and during later phases of the Financial Aid Records Study.

You may encounter some people who tell you that they have already returned the package. Ask when they sent the materials back and be sure to record the name of the person you spoke with. If the package was returned more than one week ago, verify the school name and address. Also, ask whether the school is part of a system or chain of schools, since we may have it listed under another ID number. Finally, tell the respondent that we will check our files and call back if it is not received.

3.2 Answering Questions

We expect that the information we give you in training, and your thorough review of the study materials, will prepare you to answer most of the questions asked by the Administrators. However, if someone asks a question that you are not prepared to answer, we suggest you respond in the following way:

"That's a very good question and I'm not sure about the correct answer. I will explain your question to Nancy Caldwell and Cindy Gray, the senior field staff. One of them will call you later today or tomorrow, if that is all right with you.

As I understand it, the question you want them to answer is:______________________. Is that correct? I'll give this message to the field staff right away."

Be sure to record the question in detail and to get the person's name and telephone number so that we can call them back. Also, if the Administrator specifies a particular time that he/she wants to be called back, be sure to note this, plus any other comments from your conversation that will help us to respond effectively. Code the case as an "8" indicating a problem, and give it directly to your supervisor.

3.3 Who is your respondent

You will ask for the person who was contacted during the second followup. If that person is not available, make an appointment to call back. Dealing with the same person during all followup contacts reduces confusion for us and the school. However, there are some situations where it will be necessary for you to contact someone else.

If the original respondent has left the Financial Aid Office or will not be available during the first week we are calling (by April 5), you must determine who the new contact should be. First, explain why you are calling. The study may have been turned over to someone else. Next, ask who is handling the original respondent's duties, especially who would be receiving his/her mail. If it is still not clear who you should be contacting, ask to speak to the Financial Aid Administrator (if this person is not your first respondent) or to someone else who would be able to help you.

4. Suggested Answers to Questions and Statements Made by Financial Aid Administrators

"What is Westat?"

Westat is an independent research firm located in Rockville, Maryland. Westat has been contracted by the National Center for Education Statistics to conduct this study under a subcontract with the National Opinion Research Center.

"What is the National Center for Education Statistics?"

It is an agency within the Federal Department of Education, located in Washington, D.C. NCES initiates studies to collect information about all aspects of education.

"What is High School and Beyond?

The High School and Beyond Study is a large scale, longitudinal study that NCES has been conducting since 1980. It consists of nationally representative samples of the high school classes of 1980 and 1982. (A description of High School and Beyond and the National Longitudinal Studies Program is included in the mail package).

"How will this information be used?" or "What is the purpose of this study?"

The purpose is to obtain financial aid data from school records for students participating in the High School and Beyond Survey. The goal is to provide information on sample survey members which can be aggregated to examine research issues at the national level. (More information is included in the mail package.)

"Why can't financial aid information be obtained directly from students?"

In the past, financial aid data for the High School and Beyond Study have been obtained only from the students. However, the total amount of financial aid offered to a student is frequently a package of funds from a variety of programs. Therefore, students are not usually able to recall accurately the specific sources and the amount of aid they received from each source.

"Student financial aid information is confidential."

Westat has been authorized by the National Center for Education to collect this data. The grant of authority for NCES to collect financial aid data is made pursuant to the provision in the Family Education Rights and Privacy Act (FERPA), that allows the release of records to the Secretary of Education or to his agent without the prior consent of the survey participants. The privacy of the information you are asked to supply to Westat will be protected, as required by FERPA. (A letter of authorization from NCES and a copy of the relevant sections of FERPA, is included in the mail package.)

"Why do you need identifying information on the student financial aid records?"

Student names are used only to make sure that information from different sources (tests, questionnaires and financial aid forms) refer to the same individuals and not to find out anything about particular individuals. The confidentiality of data is safeguarded at Westat. Personally identifying information will be deleted from the data files once matching is complete.

"We already participated in this study last year."

A pilot study for this survey was conducted in the Fall of 1983. Your school may have been one of the 400 schools that participated in the pilot. However, the information we are now requesting differs from the pilot in two ways. First, we are now requesting data for an additional year, 1983-84. Second, there may be additional students for whom we are requesting information. Therefore, we would appreciate your participation, even though you may have provided some of this information during the pilot study.

"Where do I include information on financial aid received during the summer?"

Each academic year included in this study is considered to begin in the fall and continue through the summer of the following year. Therefore, the summer of 1981 is included in 80-81, the summer of 1982 is included in 81-82, etc.

"We have no record for one of the students on our checklist."

If you know that the student was not enrolled during our study period, then check the "no" box for each appropriate year in the "In School?" column. However, if you have no information on a student at all, write "No record" in the comments space.

5. Call Record Codes

Interim Codes

Cases will not be finalized until all requested information has been obtained, either by phone or mail. Until the case is finalized, the following interim codes are used:

(1) RING NO ANSWER

(3) BUSY

(4) CALLBACK - NO APPT.

(5) CALLBACK - APPT.

(7) PROJECT SPECIFIC: Student(s) did receive financial aid; respondent agrees to send financial aid information by mail.

(8) PROBLEM (Specify)

(9) MAILOUT NEEDED: Student(s) did receive financial aid; respondent requests remail package.

Since calls will continue to be made for cases with codes 1-5 but not for cases with codes 7-9, there will be four different bins used for interim cases. Those with codes 1-4 will go in one bin, code 5 (appointments) in the second bin, codes 7 and 9 in the third bin, and code 8 in the fourth bin.

Final Codes

The codes you will be using for finalized cases are:

(C) COMPLETE: The respondent states that none of the sampled students received financial aid during any year 1980-1984.

(PC) PARTIAL COMPLETE

(RB) FINAL REFUSAL/BREAKOFF

(LP) FINAL LANGUAGE PROBLEM

(O) OTHER: As assigned by supervisor

(NL) NOT LOCATABLE: As assigned by supervisor

(S1) SPECIFIC 1: The completed package was received by mail. This code will only be assigned by the supervisor or clerical staff.

(MC) MAXIMUM CONTACT: As assigned by supervisor

There will be one bin for finalized cases.

SAMPLE SCRIPT II FOR THIRD FOLLOWUP CALLS
(School has 3 to 14 HS&B Students)

A. STUDY EXPLANATION

1. ASK FOR PERSON WHO WAS CALLED BEFORE. IF THAT PERSON IS NOT AVAILABLE, ASK FOR THE FINANCIAL AID ADMINISTRATOR.

2. INTRODUCTION: Hello, my name is ________________ from Westat, Inc. Recently someone from our office spoke with (you/____________) about the financial aid records study sponsored by the National Center for Education Statistics. You should have received a package of explanatory materials and forms in the mail.

   IF RESPONDENT INDICATES FAMILIARITY WITH THE MATERIAL, GO TO 3.

   IF RESPONDENT HAS NO KNOWLEDGE OF THIS STUDY, EXPLAIN: For this study we are requesting financial aid information from those institutions attended by students in the longitudinal survey called High School and Beyond. This national study has been endorsed by NASFAA (National Association of Student Financial Aid Administrator) and other professional organizations.

3. We realize that you are very busy and that it is difficult to find the time to send materials to us. Instead, we may be able to find out all or most of what we need to know by telephone now.

For this study, we would like to know whether any of the students participating in the High School and Beyond study received financial aid during the period from 1980 through 1984. According to our records ______ High School and Beyond students reported attending your institution during this period. Their names are listed on the Student Checklist in the packet of study materials we sent.

4. If you cannot find those materials easily, I can read the names and Social Security numbers of these students to you.

☐ RESPONDENT HAS CHECKLIST. GO TO B.

☐ RESPONDENT DOES NOT HAVE CHECKLIST. GO TO C.

B. RESPONDENT HAS FAS MATERIALS

1. Look at your copy of the Student Checklist. This is a computer-generated form listing those HS&B students in our study who reported attending your institution.

2. First, we need to know whether or not these students received financial aid during the academic years 1980-84. Since many students do not receive aid, this may be all we need to know from you. We realize that the financial aid office may not have <u>any</u> records on students who did not receive aid.

   Second, if any students did receive aid, we need to know the costs, resources, and aid information listed on the sample student aid form which is also in the package. Again, we realize that you may not have all of this information available. However, we are interested in obtaining as much of this information as is available.

3. Since it may take some time to locate records for these students, let's make an appointment for me to call you back to get the necessary information. If you will keep the student's files available we can then decide how best to get the aid information. We can reimburse copying costs if that will help.

RECORD APPOINTMENT DATE AND TIME ON CALL RECORD AND CHECK HERE ☐.

GO TO D.

C. RESPONDENT DOES NOT HAVE FAS MATERIAL

1. First, we need to know whether or not any HS&B students received financial aid during the academic years 1980-84. Since many students do not receive aid, this may be all we need to know. We realize that the financial aid office may not have <u>any</u> records on students who did not receive aid.

Second, if any students did receive aid, we need to obtain information on costs, resources, and the financial aid received. Again, we realize that you may not have all of this information available. We would like to obtain as much of this information as is available. I will send you a package of information about the study by express mail. This package includes a list of the items we are interested in. How should I address this package?

FILL OUT MAIL REQUEST FORM.

2. You should get the package soon. In the meantime, let me give you the names and Social Security numbers of the students in our study, so you can begin assembling their records. The names and Social Security numbers of the HS&B students are: (READ FULL NLAMES, ALTERNATE NAMES, AND SOCIAL SECURITY NUMBERS).

3. Since it may take some time to locate records for these students, let's make an appointment for me to call you back to get the necessary information. If you will keep the students' files available, we can then decide how best to get any aid information. We can reimburse copying costs if that will help.

RECORD APPOINTMENT DATE AND TIME ON CALL RECORD AND CHECK HERE ☐.

GO TO D.

D. WHEN RESPONDENT HAS ASSEMBLED THE INFORMATION

1. Lets go through the list (student by student and year by year) and you tell me whether the student did receive aid, did not receive aid, or that you could find no information on the student. If you have any comments to make about a particular student's situation, please

to make about a particular student's situation, please do so.

GO THROUGH EACH STUDENT ON LIST.

2. I have recorded that:

   a. The following student(s) did receive aid (NAME(S)).

   b. This (these) student(s) did not receive aid (NAME(S))

   c. You had no information on (NAME(S)). Do you know if (NAME(S)) was enrolled during 1980-84? RECORD ENROLLMENT STATUS ON CHECKLIST.

IF AT LEAST ONE STUDENT RECEIVED AID, GO TO 3, OTHERWISE GO TO 4.

3. Since (NAMES received financial aid, we are interested in the amounts and types of aid they received, and cost and resource information. Do you prefer to photocopy forms and send them to us, to fill out a sample student form for each student, or to read this information to me over the telephone?

- ☐ WILL READ OVER TELEPHONE
- ☐ WILL FILL OUT FORMS AND MAIL
- ☐ WILL XEROX AND MAIL

FILL OUT FORMS FOR RESPONDENT

4. ASK REGARDLESS OF WHETHER ANY STUDENTS RECEIVED AID: To understand the financial aid process, our analysts are interested in how your office establishes a budget or need for aid in order to determine aid award amounts.

In determining need, do you use a standard budget for all students? (USING A STANDARD BUDGET MEANS THE SCHOOL DOES NOT USE DIFFERENT COST AMOUNTS FOR DIFFERENT CATEGORIES OF STUDENTS.)

- [ ] YES
- [ ] NO

IF YES: Could you tell me what standard budget items were used during each of the 1980-84 academic years? Let's start with the tuition and fees for 1980-81.

(RECORD STANDARD BUDGET COST INFORMATION ON SAMPLE FORM.)

GO TO 5.

IF NO: How do you determine a student's budget or need?

RECORD RESPONSE: ______________________________

____

____

____

____

____

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Would it be possible for you to give me a typical budget for a full-time undergraduate student for each of the 1980-84 academic years?

IF YES, RECORD ON SAMPLE FORM. IF AVAILABLE FROM ANOTHER OFFICE, CALL THAT OFFICE. GO TO 5.

5. Thank you very much for taking the time to help us with this study.

SAMPLE SCRIPT III FOR THIRD FOLLOWUP CALLS
(School with 15 or More HS&B Students)

STUDY REQUIREMENTS

1. ASK FOR PERSON WHO WAS CALLED BEFORE. IF THAT PERSON IS NOT AVAILABLE, ASK FOR THE FINANCIAL AID ADMINISTRATOR.

2. INTRODUCTION: Hello, my name is ____________ from Westat, Inc. Recently someone from our office spoke with (you/__________) about the financial aid records study sponsored by the National Center for Education Statistics. You should have received a package of explanatory materials and forms in the mail.

   IF RESPONDENT INDICATES FAMILIARITY WITH THE MATERIAL, GO TO 3.

   IF RESPONDENT HAS NO KNOWLEDGE OF THIS STUDY, EXPLAIN: For this study we are requesting financial aid information from those institutions attended by students in the longitudinal survey called High School and Beyond. This national study has been endorsed by NASFAA (National Association of Student Financial Aid Administrator) and other professional organizations.

3. We would like to know whether any of the students participating in the High School and Beyond study received financial aid during the period from 1980 through 1984. If they did receive aid we would like to obtain cost, resource, and amount of aid information.

Although our records indicate that _______ High School and Beyond students reported attending your institution the number receiving financial aid is probably much smaller. It is important that we get this information from schools because schools are the most reliable source of information about the financial aid students actually received.

4. We realize that you are very busy and that it is difficult to find the time to send information to us. Is there anything we can do to help? We will reimburse photocopying costs and staff time spent working on the project if that will help.

RECORD RESPONDENT'S RESPONSES AS TO HOW WE CAN HELP AND FLAG FOR YOUR SUPERVISOR:

____

____

____

____

____

____

____

____

☐ IF RESPONDENT REQUESTS REIMBURSEMENT FOR COPYING COSTS OR STAFF TIME, SAY: That seems reasonable. I will tell the field director about this arrangement. Did you say you have the package of study materials? I will be happy to send another via express mail.

IF NECESSARY, FILL OUT MAIL REQUEST FORM CONFIRMING NAME AND ADDRESS OF RESPONDENT. GO TO 5.

☐ IF RESPONDENT REQUESTS SOMETHING ELSE, SAY: I will have to check with the project field director to see if we can do that. In the meantime, shall I send you another package of study materials express mail?

IF REQUESTED, FILL OUT MAIL REQUEST FORM CONFIRMING NAME AND ADDRESS OF RESPONDENT. GO TO 5.

5. Do you have any questions about the study? I will call you back in one week to see how things are going.

RECORD CALL BACK TIME ON CALL RECORD AND CHECK HERE ☐.

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High School and Beyond
Financial Aid Records Study

Data Retrieval Followup Manual

May, 1985

When a package is received from a school, the student information is reviewed. When a problem is identified that cannot be resolved without further information from the respondent, a data retrieval call is made to the school. There are several types of problems which recuire a data retrieval call. The three main categories of these problems are:

- The respondent fails to answer part of the checklist or student financial aid form. For these situations, you will simply attempt to obtain the missing information.
- Two or more answers given by the respondent do not correspond. For example, the sum of the categories in a particular question does not equal the total given on the form. For these situations, you must determine whether there was an error or misunderstanding by the respondent and obtain the correct information. Occasionally, the respondent will explain why the contradictory information is correct. In this case, record the respondent's explanation.
- An answer given by the respondent does not fit our expectations. For example, the tuition and fees are less than $50. For these situations, you may find that the answer is correct, but the respondent can give us additional information to explain it. Record the respondent's explanation, probing if necessary. However, if the answer is wrong, obtain the correct information.

The following are examples of data retrieval problems:

<u>There is no information for a student on the checklist or forms</u>.

First, obtain the checklist received aid status for the student for each year 80-84. If the student received aid during any year, complete a student financial aid form (FAF).

The received aid status on the checklist is yes, but there is no information for that year on the financial aid form.

First, determine whether the student really did receive aid during that year (remember, we include as financial aid college work study and loans such as GSL). If the student did receive aid, fill out the FAF for that year.

The years aid received on checklist don't correspond to the years reported on the financial aid form.

The usual cause of this problem is that the respondent checked the wrong box on the checklist or filled out the wrong column of the FAF. First, determine in which years the student actually did receive aid. Next, make any necessary changes to the checklist and FAF so that the information appears in the correct years.

The whole question is left blank for Q1, Q2, or Q3.

Obtain this information just as you would for nonresponse followup. If the information is unavailable, record a U.

There is a total given but it does not equal the sum of the categories.

Try not to put the respondent in the position of defending the original answers, but rather ask him/her to re-check the student's file. Once the respondent has the file, verify all the amounts for that question. In most cases, the respondent simply wrote the wrong amount for a category or total. However, another possibility is that the total included an item not listed on the form. In this case, record the amount and a description of the item. The third possibility is that the category amounts and total are recorded exactly as they appear on the student's record. In this case, try to determine whether the categories or the total are more accurate. Also, record any explanation that the respondent can offer.

<u>The amount in question 1 minus the amount in question 2 does not equal question 3</u>.

First, determine whether the school calculates need by subtracting the resources from the costs. If so, verify the figures on the form against the student's record. If the school calculates need some other way, record how it is calculated and verify that the figures are correct.

<u>An other (specify) response is given, but no dollar amount is given</u>.

Record the amount for the other (specify) category for each year.

<u>An answer given on the form is higher or lower than expected</u>.

First, verify that the answer on the form is correct. If it is, record the respondent's comments or explanation of the answer. If the answer on the form is wrong, obtain the correct information.

High School and Beyond Financial Aid Study

Data Retrieval Followup

SCHOOL ID:____________________

A. REVIEW THE PREVIOUS FOLLOWUP CALL RECORD (IF ANY). COPY PREVIOUS CONTACT INFORMATION BELOW:

NAME OF PREVIOUS CONTACT:____________________________________

TITLE:____

PHONE NUMBER:____

B. ASK FOR THE PERSON LAST CONTACTED. IF SOMEONE ELSE IS NOW HANDLING THE STUDY, RECORD NAME AND TITLE BELOW:

NAME OF NEW CONTACT:_______________________________________

TITLE:____

PHONE NUMBER:____

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1. ASK FOR PERSON WHO WAS CALLED BEFORE. IF THAT PERSON IS NOT AVAILABLE OR THERE IS NO PREVIOUS CALL RECORD, ASK FOR THE FINANCIAL AID ADMINISTRATOR.

2. Hello, my name is ____________. I am calling about the financial aid records study sponsored by the National Center for Education Statistics. This study was recently completed by you or someone in your office. We have reviewed the information, and there are a few questions that we would like to ask you about it.

IF RESPONDENT IS FAMILIAR WITH THE STUDY, GO TO 4.

3. IF RESPONDENT DOES NOT REMEMBER THE STUDY, EXPLAIN:

For this study we obtained financial aid information for 1980-84 for students participating in the longitudinal survey called High School and Beyond. Even if you do not recall the study, you will probably be able to give me the information I need.

4. GO THROUGH EACH PROBLEM LISTED ON THE CODING PROBLEM SHEET FOR ALL PROBLEM CASES.

PROBLEM CASES (STUDENT FORMS)

SCHOOL ID	HS&B (STUDENT) ID	NOTES
1.		
2.		
3.		
4.		
5.		
6.		
7.		
8.		
9.		
10.		

COMMENTS:

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HIGH SCHOOL AND BEYOND
FINANCIAL AID RECORDS STUDY

Coding and Editing Manual

March, 1985

INTRODUCTION

School Folders

All information received from a school is contained in a school folder. The folders containing complete or partially complete information are sent from receipt control to coding. Included in each folder is a student checklist (Exhibit 1) and financial aid information for those students who received financial aid during our study period (1980-84). You will code the information for all students in a school's folder before going on to the next school.

Coding Forms

The first form that you will be using is the student coding form (Exhibit 2). You will complete a student coding form for every student listed on the student checklist. The student checklist contains information on enrollment and receipt of financial aid for all HS&B students who attended the school. Most of the information to be filled out on the coding form can be found on the student checklist.

The second form used for coding is the student financial aid form (Exhibit 3). This form is completed for every student who received financial aid for one or more of the four academic years: 1980-81, 1981-82, 1982-83, 1983-84. It is then stapled to the student coding form. Most schools reported financial aid information for each student on a student financial aid form. However, some schools chose to send us copies of students' financial aid documents instead of using the financial aid forms. If student financial aid forms were not used by the school for one or more students, file the entire school folder

Exhibit 1

ID #

NAME OF SCHOOL

NUMBER OF SAMPLED STUDENTS : 006

HIGH SCHOOL & BEYOND - FINANCIAL AID RECORDS STUDY
STUDENT CHECKLIST

INSTRUCTIONS: The students listed below reported attending your school during 1980-84. Please indicate the students' enrollment status and receipt of financial aid during each of these years. For each year that a student received aid, please send his/her financial aid information to Westat according to the enclosed instructions. Separate the two copies of this checklist, return one copy to Westat and retain the second copy.

STUDENT IDENTIFICATION	ACAD YEAR	IN SCHOOL? YES	IN SCHOOL? NO	REC'D AID? YES	REC'D AID? NO	COMMENTS
001 LAST NAME : FIRST NAME: ALT NAME : SOC SEC NO: BIRTHDATE : HS&B ID :	80-81					
	81-82					
	82-83					
	83-84					
002 LAST NAME : FIRST NAME: ALT NAME : SOC SEC NO: BIRTHDATE : HS&B ID :	80-81					
	81-82					
	82-83					
	83-84					
003 LAST NAME : FIRST NAME: ALT NAME : SOC SEC NO: BIRTHDATE : HS&B ID :	80-81					
	81-82					
	82-83					
	83-84					
004 LAST NAME : FIRST NAME: ALT NAME : SOC SEC NO: BIRTHDATE : HS&B ID :	80-81					
	81-82					
	82-83					
	83-84					
005 LAST NAME : FIRST NAME: ALT NAME : SOC SEC NO: BIRTHDATE : HS&B ID :	80-81					
	81-82					
	82-83					
	83-84					

Student Coding Form (Record 1)

|__|__|__|__|__|__| |__|__|__|__|__|__|

School ID   Student ID

IA. Student status code

01 Duplicate: (CODE SCHOOL ID OF DUPLICATE IN QIB)
02 No record for student; school has no information on student
03 Information received for student

IB. School ID of duplicate entry

|__|__|__|__|__|__|

IIA. Social security number match

01 No change to SSN on preprinted label or checklist
02 H.S.&B. Preprinted label not used, SSN's match
03 SSN's differ (whether or not label used) (CODE ALTERNATE SSN IN QIIB)
04 Unable to match, no SSN on either H.S.&B file or school record

IIB. Alternate social security number

|__|__|__| -- |__|__| -- |__|__|__|__|

III.

	Year	Enrolled		
		Yes	No	Unknown
A.	80-81	1	2	5
B.	81-82	1	2	5
C.	82-83	1	2	5
D.	83-84	1	2	5

IV.

	Year	Received Aid		
		Yes	No	Unknown
A.	80-81	1	2	5
B.	81-82	1	2	5
C.	82-83	1	2	5
D.	83-84	1	2	5

Exhibit 2

School: ____________________

Student Name: ____________________

SSN: ____________________

SAMPLE STUDENT FINANCIAL AID FORM

Costs and Resources[1]	1980-1981	1981-1982	1982-1983	1983-1984
1. Student Cost of Attendance[2]				
a. Tuition and Fees	$	$	$	$
b. Room and Board	$	$	$	$
c. Books and Supplies	$	$	$	$
d. Personal Expenses	$	$	$	$
e. Transportation	$	$	$	$
f. Other (specify) ________	$	$	$	$
g. Other (specify) ________	$	$	$	$
Estimated Total Costs	$	$	$	$
2. Resources				
a. Parental Contribution	$	$	$	$
b. Student Savings/Assets/Contributions	$	$	$	$
c. Student Summer Earnings	$	$	$	$
d. Other (specify) ________	$	$	$	$
e. Other (specify) ________	$	$	$	$
f. Other (specify) ________	$	$	$	$
Reported Total Resources	$	$	$	$
3. School Estimate of Need	$	$	$	$

Exhibit 3

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CONTINUED ON OTHER SIDE

[1]Enter dollar amount, NA - not applicable, or U - information unavailable.

[2]May be standard amount used by school in financial aid determinations.

Sources of Financial Aid[1]	1980-1981	1981-1982	1982-1983	1983-1984
4. Scholarships and Grants				
a. Pell Grant/BEOG	$	$	$	$
b. Supplemental Educational Opportunity Grant (SEOG)	$	$	$	$
c. State Scholarship Program	$	$	$	$
d. College or University Scholarship	$	$	$	$
e. Scholarships from Private Organizations	$	$	$	$
f. Other scholarship or grant (specify) ____	$	$	$	$
g. Other (specify) ____	$	$	$	$
Total awarded:	$	$	$	$
Total accepted:	$	$	$	$
5. Loans				
a. National Direct Student Loan	$	$	$	$
b. Federal Guaranteed Student Loan Program	$	$	$	$
c. State Student Loan Program	$	$	$	$
d. College or University Loan Program	$	$	$	$
e. Regular Bank Loan	$	$	$	$
f. Other loan (specify) ____	$	$	$	$
Total Loans	$	$	$	$
6. Employment				
a. College Work-Study (CWSP)	$	$	$	$
b. Other (specify) ____	$	$	$	$
c. Other (specify) ____	$	$	$	$
7. Total Aid	$	$	$	$

[1] Enter dollar amount and check (/) if amount awarded was accepted. Enter NA - no award or U - award received but amount unavailable.

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in the file for special coding. Information must be abstracted from the school's documents onto a student financial aid form by a special coder.

Data Entry Records

All information contained on the student coding form is keyed in record 1. Therefore, all students must have at least a record 1. The information on the financial aid form is keyed in records 21, 22, 23, 24, 31, 32, 33, 34. The "2" records contain the costs and resources information found on page 1 of the form. The "3" records contain the sources of financial aid information found on page 2 of the form. The sub-categories 1-4 refer to the year financial aid was received. Thus, record 21 contains the costs and resources information for 1980-81; record 34 contains the sources of financial aid information for 1983-84, etc.

General Instructions

1. Use a red pencil for coding and editing. Never erase or mark out an entry made by the respondent so that it cannot be read. Instead, draw a single red line through each entry to be deleted or changed.

2. As you code, problems will arise which require a decision by your supervisor. In these cases, fill out a problem sheet (Exhibit 4) and clip it to the student coding forms. In addition, some situations always require a problem sheet. These are explained in the specific instructions sections.

3. Whenever any question is not answered that should be answered (not part of a skip pattern), make a problem sheet. An answer of "U" or unknown is considered an acceptable answer and does not require a problem sheet.

4. When an answer is given for an other (specify) category, record the answer verbatim on an open end coding card (Exhibit 5). Using the information on these cards, codes will be developed for each question with an other (specify) category.

5. If any of the amounts reported on the student financial aid form include cents, round the amount to the nearest dollar and cross off cents.

6. The amounts reported on the student financial aid form will be zero filled to five digits by the key entry staff. You do not need to zero fill answers.

Exhibit 4

CODING PROBLEM SHEET

ID #______________________ Date:______________________

Coder initials: ____________

	Problem
Question #	Explanation

	Resolution
Question #	Explanation

Exhibit 5

Open End Coding

ID #__________________ CODER:_______________________

QUESTION #____________ DATE:________________________

RESPONSE: ____

____

____

____

Code Assigned: __________________Date:______________

Specific Instructions
Student Coding Form

Question Name	Column Number(s)		
IDSC	001-006	ID number for school	
		001002-800137	= FICE code or Postsecondary School ID
BLK1	007	Blank	
		+	= Blank
IDST	008-013	ID number for student	
		010057-5б4867	= H.S.&B. student ID
BLK2	014	Blank	
		+	= Blank
REC1	015	Record number 1	
		1	= Record number
SUB1	016	Sub - category record number 0	
		0	= No sub -categories for record 1
BLK3	017	Blank	
		+	= Blank

210

Question Name	Column Number(s)	
QI	(018-025)	Student Status Code and Duplicate ID number

Instructions For Coding QI

1. In some cases, students listed on a school's checklist have been determined to be duplicates. That is, the same student was listed more than once for the same university system. The student was listed under the school ID number for "System Office" or "All Campuses" and also under the ID number for an individual campus of the same system. These students will have been identified before you begin coding. Therefore, check the comments section of the student checklist for a notation that the student is a duplicate. If such a notation appears, circle code 01. Also written in the comments will be the other school ID number under which the student is listed. Code this ID number in the spaces provided next to the answer code 01. Next, code QII -QIV as 19(9). Do not code a student financial aid form.

2. If there is a notation on the checklist or student financial aid form that the school has no record of the student (that is, no financial aid and enrollment information), circle code 02. Code QIB-QIV as 25(9). Do not code a student financial aid form.

3. If any information is given for the student and code 01 and 02 do not apply, circle code 03.

4. If there is no information for the student, either on the checklist or any other documents, fill out a problem sheet.

Question Name	Column Number(s)	
QIA	018-019	Student Status Code

* 01	= Duplicate
** 02	= No record for student, school has no information on student
03	= Information received for student

* SKIP QII - QIV (QII through QIV are coded as 9's)

* OMIT 2 - 3 (All records 21 through 34 are omitted)

** SKIP QIB - QIV (QIB through QIV are coded as 9's)

** OMIT 2 - 3 (All records 21 through 34 are omitted)

Question Name	Column Number(s)	
QIB	020-025	ID number of duplicate school

001002-800137	= ID number of duplicate school (QIA coded 01)
999999	= Not a duplicate school (QIA not coded 01)

Question Name	Column Number(s)	
QII	(026-036)	Social security number match and alternate social security number

Instructions For Coding QII

1. Examine the student checklist and determine whether the school has changed the student's social security number. If the SSN received from the school is different than the number printed on the checklist, circle code 03 and follow step 4 below.

2. Check whether the preprinted label was used on the student financial aid form (or on any other documents sent to us) and follow these steps:

a. If the label was used and no change was made to the SSN, circle code 01. If a change was made, circle code 03.

b. If the label was not used, check whether the SSN has been written on the student financial aid form or is found anywhere in other documents sent for the student. Compare the social security number given by the school to the social security number printed on the student checklist. If they match, circle code 02. If they differ, circle code 03.

3. If the SSN is missing from the student's financial aid documents sent by the school or is not printed on the checklist, circle code 04.

4. Next, code the alternate social security number field. If the SSN's differ (that is, code 03 is circled), then code the SSN reported by the school. If the SSN's are not different (code 01, 02 or 04 is circled), then code the alternate social security number field as 9(9).

Record

Question Name	Column Number(s)		
QIIA	026-027	Social security number match	
		01	= No change to SSN on preprinted label or checkli.
		02	= H.S.&B. preprinted label n used, SSN's match
		03	= SSN's differ (whether or no label used)
		04	= Unable to match, no SSN on either H.S.&B. file or school record
		99	= Not applicable (QI coded 01 or 02)
QIIB	028-036	Alternate social security number: Social security number reported by school if different than H.S.&B. number	
		000000001-999999993	= Social security number reported by school (QIIA coded 03)
		999999999	= Not applicable (QIIA not coded 03)

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Question Name	Column Number(s)	
QIII	(037-040)	Enrollment status

Instructions For Coding QIII

1. The information for QIII is obtained from the "In School?" column of the student checklist. Circle the appropriate code for each year.

2. If neither box is checked for a particular year, follow these steps:

a. If the respondent checked yes for received aid or provided financial aid data for that year, code the enrolled status as yes.

b. If the respondent indicated that the enrolled status is unknown, code as unknown (5).

c. If there is no enrollment information for the student and the respondent did NOT check yes for received aid, code the enrolled status as no answer (8).

QIIIA	037	Enrolled in 1980-81?

1 = Yes
2 = No
5 = Unknown
8 = No answer
9 = Not applicable (QI coded 01 or 02)

215

Question Name	Column Number(s)		
QIIIB	038	Enrolled in 1981-82?	
		1	= Y
		2	= No
		5	= Unknown
		8	= No answer
		9	= Not applicable (QI coded 01 or 02)
QIIIC	039	Enrollei in 1982-83?	
		1	= Yes
		2	= No
		5	= Unknown
		8	= No answer
		9	= Not applicable (QI coded 01 or 02)
QIIID	040	Enrolled in 1983-84?	
		1	= Yes
		2	= No
		5	= Unknown
		8	= No answer
		9	= Not applicable (QI coded 01 or 02)

Question Name	Column Number(s)	
QIV	(041-044)	Received aid status

Instructions For Coding QIV

1. The information for QIV is obtained from the "REC'D AID?" column of the student checklist. Circle the appropriate code for each year.

2. If neither box is checked for a particular year, follow these steps:

a. If the enrollment status for a particular year is no, code the received aid status for that year as no.

b. Review the entire checklist. Some respondents only check a box if the answer is yes. For these cases, we will interpret a blank box as a no if: (1) the pattern of checking only yes boxes is followed consistantly throughout the checklist; and (2) there is no financial aid information for that year on the student financial aid form or other documentation.

c. If the school submitted financial aid information on the student indicating that the student did receive aid for that year, code the received aid status as yes. (See instruction 3 below).

d. If the respondent indicated that the received aid status is unknown, code as unknown (5).

e. If there is no information on whether the student received financial aid and a through d above do not apply, make a problem sheet.

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(CONTINUED)

Question Name	Column Number(s)	

3. The presence of financial aid information for a particular year overrides a "no" answer to either enrollment or receipt of financial aid. However, some schools provide information on costs and resources for a student even if the student DID NOT receive financial aid for that year. Do not mistake this for an indication that the student received financial aid. If you have contradictory information on the student checklist and financial aid forms, make a problem sheet and let the coding supervisor decide how the case should be coded.

4. For each year, the enrollment status (QIII) and received aid status (QIV) must correspond in the following ways: (1) If the enrollment staus is no, then the received aid status must be no. (2) If the received aid status is yes, then the enrollment status must be yes. If you have contradictory information, make a problem sheet.

5. For each year with a received aid status of yes, check that student financial aid information has been provided for that year. If not, make a problem sheet.

QIVA 041 Received aid in 1980-81?

1	= Yes
* 2	= No
* 5	= Unknown
* 8	= No answer
* 9	= Not applicable (QI coded 01 or 02)

* OMIT 21,31 (Records 2 and 3, sub category 1 are omitted because no aid received in 1980-1981)

Record

Question Name	Column Number(s)		
QIVB	042	Received aid in 1981-82?	
		1	= Yes
		* 2	= No
		* 5	= Unknown
		* 8	= No answer
		* 9	= Not applicable (QI coded 01 or 02)
		* OMIT 22,32 (Records 2 and 3, sub category 2 are omitted because no aid received in 1981-1982)	
QIVC	043	Received aid in 1982-83?	
		1	= Yes
		* 2	= No
		* 5	= Unknown
		* 8	= No answer
		* 9	= Not applicable (QI coded 01 or 02)
		* OMIT 23,33 (Records 2 and 3, sub category 3 are omitted because no aid received in 1981-1982)	
QIVD	044	Received aid in 1983-84?	
		1	= Yes
		* 2	= No
		* 5	= Unknown
		* 8	= No answer
		* 9	= Not applicable (QI coded 01 or 02)
		* OMIT 24,34 (Records 2 and 3, sub category 4 are omitted because no aid received in 1983-1984)	

Specific Instructions
Student Financial Aid Form (Page 1)
Costs and Resources

Question Name	Column Number(s)		
IDSC	001-006	ID number for school	
		001002-800137	= FICE code or Postsecondary School ID
BLK1	007	Blank	
		+	= Blank
IDST	008-013	ID number for student	
		010057-564867	= H.S.&B. student ID
BLK2	014	Blank	
		+	= Blank
REC2	015	Record number 2	
		2	= Record number
SUB2	016	Sub - category record number 1-4	
		1	= Record for 1980-1981
		2	= Record for 1981-1982
		3	= Record for 1982-1983
		4	= Record for 1983-1984
BLK3	017	Blank	
		+	= Blank

Question Name	Column Number(s)	
Q1	(018-057)	Student cost of attendance

Instructions For Coding Q1

1. Code the categories answered "U" or unknown as 99995.

2. Code the categories answered "NA" or not applicable as zeros.

3. If any category a-g is left blank but the total is given, check whether the sum of the categories that are answered equals the total If it does, code the blank categories as zero If the sum does not equal the total, make a problem sheet.

4. If the total is left blank, follow rule a b, or c below, whichever applies.

a. If none of the categories are unknown or missing, code the sum of the categories as the total.

b. If any category is unknown, code the total as unknown.

c. If any category is left blank, make a problem sheet.

5. If the total line or any of the categories are still blank after following the above instructions, or if you are unsure how to code any part of the question, make a problem sheet.

Q1A	018-022	Tuition and fees

00000-15000	= Dollar amount
99995	= Amount unknown
99998	= No answer

Question Name	Column Number(s)		
Q1B	023-027	Room and board	
		00000-10000	= Dollar amount
		99995	= Amount unknown
		99998	= No answer
Q1C	028-032	Books and supplies	
		00000-04000	= Dollar amount
		99995	= Amount unknown
		99998	= No answer
Q1D	033-037	Personal expenses	
		00000-04000	= Dollar amount
		99995	= Amount unknown
		99998	= No answer
Q1E	038-042	Transportation	
		00000-05000	= Dollar amount
		99995	= Amount unknown
		99998	= No answer
Q1F	043-047	Other (specify) 1	
		00000-02000	= Dollar amount
		99995	= Amount unknown
		99998	= No answer
Q1G	048-052	Other (specify) 2	
		00000-02000	= Dollar amount
		99995	= Amount unknown
		99998	= No answer

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Question Name	Column Number(s)	
Q1T	053-057	**Estimated total costs**
		00000-42000 = Dollar amount
		99995 = Amount unknown
		99998 = No answer
Q2	(058-092)	**Resources**

Instructions For Coding Q2

1. Code the categories answered "U" or unknown as 99995.

2. Code the categories answered "NA" or not applicable as zeros.

3. If any category a-f is left blank but the total is given, check whether the sum of the categories that are answered equals the total. If it does, code the blank categories as zero. If the sum does not equal the total, make a problem sheet.

4. If the total is left blank, follow rule a, b, or c below, whichever applies.

a. If none of the categories are unknown or missing, code the sum of the categories as the total.

b. If any category is unknown, code the total as unknown.

c. If any category is left blank, make a problem sheet.

5. If the total line or any of the categories are still blank after following the above instructions, or if you are unsure how to code any part of the question, make a problem sheet.

Question Name	Column Number(s)	
Q2A	058-062	Parental contribution
		00000-15000 = Dollar amount
		99995 = Amount unknown
		99998 = No answer
Q2B	063-067	Student savings/assets/contributions
		00000-10000 = Dollar amount
		99995 = Amount unknown
		99998 = No answer
Q2C	068-072	Student summer earnings
		00000-09000 = Dollar amount
		99995 = Amount unknown
		99998 = No answer
Q2D	073-077	Other (specify) 1
		00000-10000 = Dollar amount
		99995 = Amount unknown
		99998 = No answer
Q2E	078-082	Other (specify) 2
		00000-10000 = Dollar amount
		99995 = Amount unknown
		99998 = No answer
Q2F	083-087	Other (specify) 3
		00000-10000 = Dollar amount
		99995 = Amount unknown
		99998 = No answer

Record 20

Question Name	Column Number(s)	
Q2T	088-092	Reported total resources

00000-20000	= Dollar amount
99995	= Amount unknown
99998	= No answer

2?5

Question Name	Column Number(s)	
Q3	093-097	School estimate of need

Instructions For Coding Q3

Q3 contains the figure used by the school to award financial aid to the student. Since this figure should usually be available for the student, make a problem sheet if Q3 is answered "U", "NA", zero, or left blank.

00000-20000	= Dollar amount
99995	= Amount unknown
99998	= No answer

Instructions For Coding Other (Specify)

For each other (specify) category, both the amount and the answer written in the other (specify) line are coded. Follow these rules for each other (specify) category:

1. If an amount greater than zero is given, check that there is an other (specify) answer written. If there is, record the answer on an open end coding card. If there is no answer written, make a problem sheet.

2. If the amount is unknown and there is an other (specify) answer written, record the answer on an open end coding card. If the amount is unknown and there is no answer written, code the other (specify) line as 95.

3. If the amount is zero and there is an other (specify) answer written, make a problem sheet. If the amount is zero and there is no answer written, code the other (specify) line as 99.

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Question Name	Column Number(s)		
OTHQ1F	098-099	Other (specify) code for question Q1F	
		01-93	= Codes to be assigned
		95	= Unknown
		98	= No answer
		99	= Not applicable (Q1F answered zero)
OTHQ1G	100-101	Other (specify) code for question Q1G	
		01-93	= Codes to be assigned
		95	= Unknown
		98	= No answer
		99	= Not applicable (Q1G answered zero)
OTHQ2D	102-103	Other (specify) code for question Q2D	
		01-93	= Codes to be assigned
		95	= Unknown
		98	= No answer
		99	= Not applicable (Q2D answered zero)
OTHQ2E	104-105	Other (specify) code for question Q2E	
		01-93	= Codes to be assigned
		95	= Unknown
		98	= No answer
		99	= Not applicable (Q2E answered zero)

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Question Name	Column Number(s)		
OTHQ2F	106-107	Other (specify) code for question Q2F	
		01-93	= Codes to be assigned
		95	= Unknown
		98	= No answer
		99	= Not applicable (Q2F answered zero)

Record 21

Specific Instructions
Student Financial Aid Form (Page 1)
Costs and Resources
1980 - 1981

Question Name	Column Number(s)	
ALL	(001-107)	1980 - 1981 costs and resources (Q1, Q2, Q3)

The information reported in the 1980-1981 column for costs and resources is keyed in record 2, sub category 1. The coding procedures for Q1-Q3 are the same for every year and are listed on the previous pages as "Record 20".

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Record

Specific Instructions
Student Financial Aid Form (Page 1)
Costs and Resources
1981 - 1982

Question Name	Column Number(s)	
ALL	(001-107)	**1981 - 1982 costs and resources (Q1, Q2, Q3)** The information reported in the 1981-1982 column for costs and resources is keyed in record 2, sub category 2. The coding procedures for Q1-Q3 are the same for every year and are listed on the previous pages as "Record 20".

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Specific Instructions
Student Financial Aid Form (Page 1)
Costs and Resources
1982 - 1983

Question Name	Column Number(s)	
ALL	(001-107)	1982 - 1983 costs and resources (Q1, Q2, Q3)

The information reported in the 1982-1983 column for costs and resources is keyed in record 2, sub category 3. The coding procedures for Q1-Q3 are the same for every year and are listed on the previous pages as "Record 20".

Specific Instructions
Student Financial Aid Form (Page 1)
Costs and Resources
1983 - 1984

Question Name	Column Number(s)	
ALL	(001-107)	1983 - 1984 costs and resources (Q1, Q2, Q3)
		The information reported in the 1983-1984 column for costs and resources is keyed in record 2, sub category 4. The coding procedures for Q1-Q3 are the same for every year and are listed on the previous pages as "Record 20".

Specific Instructions
Student Financial Aid Form (Page 2)
Sources of Financial Aid

Question Name	Column Number(s)	
IDSC	001-006	ID number for school 001002-800137 = FICE code or Postsecondary School ID
BLK1	007	Blank + = Blank
IDST	008-013	ID number for student 010057-564867 = H.S.&B. student ID
BLK2	014	Blank + = Blank
REC3	015	Record number 3 3 = Record number
SUB3	016	Sub - category record number 1-4 1 = Record for 1980-1981 2 = Record for 1981-1982 3 = Record for 1982-1983 4 = Record for 1983-1984
BLK3	017	Blank + = Blank

Question Name	Column Number(s)	
Q4	(018-057)	Scholarships and grants

Instructions For Coding Q4

1. If all categories for Q4 are left blank, but the total aid is given in Q7, check whether the sum of Q4-Q6 equals Q7. If it does, code the blank categories as zero. If the sum does not equal the total, make a problem sheet.

2. The amount answered for Pell Grant/BEOG must not be greater than 1,800 for any one year. If a higher amount is given, make a problem sheet.

3. Code the categories answered "U" or unknown as 99995.

4. Code the categories answered "NA" or no award as zeros.

5. If the total ACCEPTED is left blank, follow rule a, b, or c below, whichever applies.

a. If none of the categories are unknown or missing, scan the question to determine whether the respondent used checkmarks to indicate which amounts were accepted. If checkmarks were used, code the sum of the categories WITH checkmarks as total ACCEPTED and code the categories WITHOUT checkmarks as zeros. If checkmarks were not used, make a problem sheet.

b. If any category is unknown, code the total ACCEPTED as unknown.

c. If any category is left blank, make a problem sheet.

(CONTINUED)

Question Name	Column Number(s)	
		6. If the amounts given for total AWARDED and total ACCEPTED are DIFFERENT, follow rule a, b, or c below, whichever applies. a. If the sum of all the categories equals the total AWARDED, scan the question to determine whether the respondent used checkmarks to indicate which amounts were accepted. If checkmarks were used, determine whether the sum of the categories with checkamrks equals the total ACCEPTED. If it does code the categories WITHOUT checkmarks as zeros. If the sum of the categories with checkmarks does not equal total ACCEPTED, or checkmarks were not used, make a problem sheet. b. If the sum of all the categories equals the total ACCEPTED, code any blank categories as zeros. c. If the sum of all the categories does not equal either total AWARDED or total ACCEPTED, make a problem sheet. 7. If any category a-g is left blank but the total ACCEPTED is given, check whether the sum of the categories that are answered equals the total ACCEPTED. If it does, code the blank categories as zero. If the sum does not equal the total ACCEPTED, make a problem sheet. 8. Cross off the amount given for total AWARDED. This category is never coded or keyed.
Q4A	018-022	Pell Grant/BEOG

225

00000-01800	= Dollar amount
99995	= Amount unknown
99998	= No answer

Question Name	Column Number(s)	
Q4B	023-027	Supplemental Educational Opportunity Grant (SEOG)
		00000-02000 = Dollar amount
		99995 = Amount unknown
		99998 = No answer
Q4C	028-032	State scholarship program
		00000-04000 = Dollar amount
		99995 = Amount unknown
		99998 = No answer
Q4D	033-037	College or university scholarship
		00000-10000 = Dollar amount
		99995 = Amount unknown
		99998 = No answer
Q4E	038-042	Scholarships from private organizations
		00000-04000 = Dollar amount
		99995 = Amount unknown
		99998 = No answer
Q4F	043-047	Other scholarship or grant (specify)
		00000-04000 = Dollar amount
		99995 = Amount unknown
		99998 = No answer
Q4G	048-052	Other (specify)
		00000-04000 = Dollar amount
		99995 = Amount unknown

Question Name	Column Number(s)		
Q4T	053-057	Total accepted	
		00000-20000	= Dollar amount
		99995	= Amount unknown
		99998	= No answer

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Question Name	Column Number(s)	
Q5	(058-092)	Loans

Instructions For Coding Q5

1. If all categories for Q5 are left blank, but the total aid is given in Q7, check whether the sum of Q4-Q6 equals Q7. If it does, code the blank categories as zero. If the sum does not equal the total, make a problem sheet.

2. The amount answered for Federal Guaranteed Student Loan (Q5b) must not be greater than 3,000 for any one year. If a higher amount is given, make a problem sheet.

3. Code the categories answered "U" or unknown as 99995.

4. Code the categories answered "NA" or no award as zeros.

5. If any category a-f is left blank but the total is given, check whether the sum of the categories that are answered equals the total. If it does, code the blank categories as zero. If the sum does not equal the total, make a problem sheet.

6. If the total is left blank, follow rule a, b, or c below, whichever applies.

a. If none of the categories are unknown or missing, code the sum of the categories as the total.

b. If any category is unknown, code the total as unknown.

c. If any category is left blank, make a problem sheet.

(CONTINUED)

Question Name	Column Number(s)	

7. If there are checkmarks next to some but not all categories that contain non - zero loan amounts, make a problem sheet.

8. If the total line or any of the categories are still blank after following the above instructions, or if you are unsure how to code any part of the question, make a problem sheet.

Q5A	058-062	National Direct Student Loan
		00000-03000 = Dollar amount 99995 = Amount unknown 99998 = No answer
Q5B	063-067	Federal Guaranteed Student Loan Program
		00000-03000 = Dollar amount 99995 = Amount unknown 99998 = No answer
Q5C	068-072	State student loan program
		00000-02000 = Dollar amount 99995 = Amount unknown 99998 = No answer
Q5D	073-077	College or university loan program
		00000-02000 = Dollar amount 99995 = Amount unknown 99998 = No answer

Question Name	Column Number(s)		
Q5E	078-082	Regular bank loan	
		00000-02000	= Dollar amount
		99995	= Amount unknown
		99998	= No answer
Q5F	083-087	Other loan (specify)	
		00000-02000	= Dollar amount
		99995	= Amount unknown
		99998	= No answer
Q5T	088-092	Total loans	
		00000-10000	= Dollar amount
		99995	= Amount unknown
		99998	= No answer

Question Name	Column Number(s)	
Q6	(093-107)	Employment

Instructions For Coding Q6

1. If all categories for Q6 are left blank, but the total aid is given in Q7, check whether the sum of Q4-Q6 equals Q7. If it does, code the blank categories as zero. If the sum does not equal the total, make a problem sheet.

2. Code the categories answered "U" or unknown as 99995.

3. Code the categories answered "NA" or no award as zeros.

4. If College Work-Study is answered and one or both of the Other (specify) categories are left blank, code the blank Other (specify) categories as zero.

5. If any of the categories are still blank after following the above instructions, or if you are unsure how to code any part of the question, make a problem sheet.

Q6A	093-097	College Work-Study (CWSP)

00000-08000	= Dollar amount
99995	= Amount unknown
99998	= No answer

Q6B	098-102	Other (specify) 1

00000-08000	= Dollar amount
99995	= Amount unknown
99998	= No answer

Question Name	Column Number(s)	
Q6C	103-107	Other (specify) 2

00000-08000	= Dollar amount
99995	= Amount unknown
99998	= No answer

Instructions For Coding Q7

Cross off the amount given for Q7 Total Aid. This question is never coded or keyed.

Instructions For Coding Other (Specify)

For each other (specify) category, both the amount and the answer written in the other (specify) line are coded. Follow these rules for each other (specify) category:

1. If an amount greater than zero is given, check that there is an other (specify) answer written. If there is, record the answer on an open end coding card. If there is no answer written, make a problem sheet.

2. If the amount is unknown and there is an other (specify) answer written, record the answer on an open end coding card. If the amount is unknown and there is no answer written, code the other (specify) line as 95.

3. If the amount is zero and there is an other (specify) answer written, make a problem sheet. If the amount is zero and there is no answer written, code the other (specify) line as 99.

Question Name	Column Number(s)		
OTHQ4F	108-109	Other (specify) code for question Q4F	
		01-93	= Codes to be assigned
		95	= Unknown
		98	= No answer
		99	= Not applicable (Q4F answered zero)
OTHQ4G	110-111	Other (specify) code for question Q4G	
		01-93	= Codes to be assigned
		95	= Unknown
		98	= No answer
		99	= Not applicable (Q4G answered zero)
OTHQ5F	112-113	Other (specify) code for question Q5F	
		01-93	= Codes to be assigned
		95	= Unknown
		98	= No answer
		99	= Not applicable (Q5F answered zero)
OTHQ6B	114-115	Other (specify) code for question Q6B	
		01-93	= Codes to be assigned
		95	= Unknown
		98	= No answer
		99	= Not applicable (Q6B answered zero)

Question Name	Column Number(s)	
OTHQ6C	116-117	Other (specify) code for question Q6C

01-93	= Codes to be assigned
95	= Unknown
98	= No answer
99	= Not applicable (Q6C answered zero)

Specific Instructions
Student Financial Aid Form (Page 2)
Sources of Financial Aid
1980 - 1981

Question Name	Column Number(s)	
ALL	(001-117)	1980 - 1981 sources of financial aid (Q4, Q5, Q6, Q7) The information reported in the 1980-1981 column for sources of financial aid is keyed in record 3, sub category 1. The coding procedures for Q4-Q7 are the same for every year and are listed on the previous pages as "Record 30".

Specific Instructions
Student Financial Aid Form (Page 2)
Sources of Financial Aid
1981 - 1982

Question Name	Column Number(s)	
ALL	(001-117)	1981 - 1982 sources of financial aid (Q4, Q5, Q6, Q7)

The information reported in the 1981-1982 column for sources of financial aid is keyed in record 3, sub category 2. The coding procedures for Q4-Q7 are the same for every year and are listed on the previous pages as "Record 30".

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Specific Instructions
Student Financial Aid Form (Page 2)
Sources of Financial Aid
1982 - 1983

Question Name	Column Number(s)	
ALL	(001-117)	1982 - 1983 sources of financial aid (Q4, Q5, Q6, Q7) The information reported in the 1982-1983 column for sources of financial aid is keyed in record 3, sub category 3. The coding procedures for Q4-Q7 are the same for every year and are listed on the previous pages as "Record 30".

Specific Instructions
Student Financial Aid Form (Page 2)
Sources of Financial Aid
1983 - 1984

Question Name	Column Number(s)	
ALL	(001-117)	1983 - 1984 sources of financial aid (Q4, Q5, Q6, Q7)

The information reported in the 1983-1984 column for sources of financial aid is keyed in record 3, sub category 4. The coding procedures for Q4-Q7 are the same for every year and are listed on the previous pages as "Record 30".

APPENDIX J

CODING PROBLEM RESOLUTION

Coding Problem Resolution

Until now, the coding instruction for Q3 is to make a problem sheet if it is answered zero, NA, or U. However, it appears that schools do not always calculate a student's need, since some types of financial aid is not awarded based on need. Therefore, in some circumstances, we will allow codes of zero or 99995 for Q3. These situation are listed below.

1. Question 3 is answered NA, zero, or a negative number and a total amount is given for costs (Q1) and resources (Q2): If the total resources is greater than (or equal to) the total costs, code need (Q3) as zero and do not make a problem sheet. If the total resources is less than the total costs, make a problem sheet.

2. All categories in Q2 and Q3 are answered NA: This indicates that the financial aid was not awarded based on need and therefore, the school did not keep records of the student's resources.

   This does not mean that the student had zero resources. In this situation, code Q2 and Q3 as 99995's, not zeros and do not make a problem sheet. In all other situations, the NA will continue to be coded as zero.

3. Question 3 is answered U or unknown and the total costs (Q1) OR total resources (Q2) is unknown: Code Q3 as 99995 and do not make a problem sheet.

Coding Problem Sheet Resolutions 2

The three categories of problems listed below are: ones with resolutions, ones requiring data retrieval calls, and ones that need decisions by individual case. For each form, you should first correct the problems in the "Resolve" category. When you correct a problem, cross it off the problem sheet. The remaining problems will be set aside for either data retrieval calls or individual decisions. If all the remaining problems on the form require a call, write "Call" at the top of the problem sheet. When you have gone through all the problem sheets in the school, file the school folder in one of three groups:

- If all the problems in the school were resolved (none for calls or individual decisions), file as "Verified, No Problem Sheets."
- If <u>any</u> problems need individual decisions, file as "Problem Sheets to be Checked."
- If <u>all</u> unresolved problems need to be called, file as "Data Retrieval."

Resolve Problems

1. For any question Q1-Q5, if some categories are answered and some are left blank and the total is left blank, code the blank categories as zeros and the sum of the categories as the total.

2. For Q1 and Q2, if a total is given but all the categories are left blank, code the categories as 99998 but leave the total as answered. If a total is given but all the categories are answered NA, code the categories as 99995 and leave the total as answered.

3. If Q2 is answered NA and Q3 is blank, code Q2 and Q3 as 99995's.

4. If Q2 is answered U and Q3 is NA, code Q2 and Q3 as 99995's. If Q2 is answered U and Q3 is zero, code Q2 as 99995's and leave Q3 as zero.

5. If Q2 and Q3 have a note saying "applied for GSL only or Pell only or state scholarship only", code Q2 and Q3 as 99995's.

6. If Q3 is left blank and all of Q1 and Q2 are answered, code Q3 as 99998.

7. If Q3 is answered U and all of Q1 and Q2 are answered, code Q3 as 99995.

8. If more than one category is combined with one amount, code each category that has been combined as 99995. However, code the total so that it includes the amount from the combined categories.

9. If any question Q4, Q5, or Q6 is entirely blank and Q7 is left blank, code the blank questions as zeros.

10. If there is a dollar amount for other (specify) but no response, code the response as 98.

Data Retrieval Calls

1. If there is no information for a student on the checklist or forms.

2. If the received aid status on the checklist is yes, but there is no information for that year on the financial aid form.

3. If the years aid received on checklist don't correspond to the years reported on the financial aid form.

4. If the whole question is left blank for Q1, Q2, or Q3 (except those situations already covered in the "Resolve" category).

5. If Q2 total if left blank but the sum of Q2 categories is written in Q3.

6. For any question Q1-Q5, if there is a total given but it does not equal the sum of the categories.

7. If Q4 total awarded and accepted differ, and the sum of the categories does not equal either total.

8. If Q7 has an answer, but the sum of Q4, Q5, and Q6 does not equal Q7.

9. If an other (specify) response is given, but no dollar amount is given.

Individual Decision by Case

1. If the checklist says "no record" but the financial aid form is filled out.

2. If there are any notes on the checklist or forms that are not clear.

3. If the school gives two social security numbers.

4. If the enrolled status on the checklist is no but the received aid status is yes and there is aid reported on the form for that year.

5. If Q1 answered NA or Q1 or Q2 answered all zeros.

6. If part of Q2 is answered but the total and Q3 are blank or zero.

7. If there are negative numbers in categories.

8. If both NA and U are written on the same line.

9. If there are more other (specify) answers than there are places for.

High School and Beyond

Financial Aid Records Study

Special Coding Manual

APPENDIX K

SPECIAL CODING MANUAL

GENERAL INSTRUCTIONS

1. Use a red pencil for completing the coding forms and marking on student records.

2. Read any cover letter that was sent by the school. The cover letter may contain information explaining the students' financial aid documents. It may also include information on the types and amounts of aid received by individual students. If so, be sure to keep the cover letter handy and refer to it as you code each student's forms.

3. Sort the financial aid records by student and write the school and student ID number on the documents. Check the name and social security number on each document to be sure that it pertains to one of the sampled students. If you have any doubt about whether the school has sent the correct document, refer the case to your supervisor.

4. For each student, sort the documents by academic year. If more than one year is reported on a document, clearly identify which information pertains to each year.

5. Complete a Student Coding Form and Student Financial Aid Form for each student. Instructions for transcribing information from the checklist and student records are contained in the specific instructions section.

6. Information contained on school records should be transcribed exactly as it appears, even if it does not follow the edit checks performed during regular coding. After the information is transcribed, make a problem sheet for any edit check failure or other problems with the case.

SPECIFIC INSTRUCTIONS

STUDENT CODING FORM

The Student Coding Form is completed according to the same procedures followed during regular coding, unless the school did not return a student checklist. If no checklist was returned, follow these steps for coding QIII and QIV:

1. Check whether there was a cover letter sent by the school. The cover letter may contain information on when the student was enrolled and received aid. If so, transcribe this information into QIII and QIV.

2. Check the financial aid records sent for the student. For each year that the student received aid, circle yes for QIII and QIV (enrolled and received aid).

3. Check whether a financial aid transcript was sent for the student. The transcript contains information on aid received by the student at <u>another</u> school (one the student attended previously). For each year that the student attended the other school for the <u>entire</u> year, code QIII and QIV as no (did not attend or receive aid at <u>this</u> school).

4. If there is no enrollment information for a particular year, code QIII as 8.

5. If there is no received aid information for a particular year, make a problem sheet.

SPECIFIC INSTRUCTIONS
STUDENT FINANCIAL AID FORM
PAGE ONE COSTS AND RESOURCES

Q1 Student Cost of Attendance

The student cost of attendance may appear on documents for an individual student (such as award letters or need analysis forms), or it may appear on a school "budget" list. A school budget specifies the cost of attendance for all students in the school or all students in a particular group. If the school sent a budget list with different costs for different categories of students, be sure that each student's category has been identified.

In most cases, the cost figures given by the school will correspond to some or all of the categories listed in Q1. Transcribe the student cost of attendance into Q1 according to the following rules:

- If the cost figures include both a total and a breakdown by category, check whether the sum of the categores equals the total. If it does, transcribe the cost figures into the appropriate categories of Q1 and code the remaining categories as zeros. If the sum of the categories does not equal the total, make a problem sheet.

- If the cost figures include only a breakdown by category but not a total, transcribe the cost figures into the appropriate categories of Q1 and code the remaining categories and the total line as 99998. However, if resources and school estimate of need (Q2, Q3) are given, check whether the sum of the costs minus the resources equals the need. If so, code the sum of the cost categories as the total.

- If the total cost is the only cost figure given, transcribe the total into Q1 and code every cost category as 99998.

- If a cost figure is given that includes more than one category of Q1, code each category included in the figure as 99995. If a total is given, be sure that it includes the combined category amount.

- If a cost figure is given that does not fit into any of the categories listed in Q1, record it on the other (specify) line.

- If no cost figures are given, code each category and the total of Q1 as 99998.

Q2 Resources

A student's resources are what the student has available to cover costs of attendance before financial aid is awarded. A school usually calculates a student's resources in order to determine the financial aid need. Therefore, the most likely documents to contain resource amounts are need analysis forms and award letters.

Some schools consider certain types of financial aid awards as resources. However, we are recording all financial aid in Q4 through Q6 and do not want it recorded as resources in Q2. If you are not sure whether an item is a resource or financial aid, refer the case to the supervisor.

While transcribing information into Q2, follow the rules listed for Q1. Also, since schools use different terms to designate resources, the following guide will help determine in which category of Q2 to record an amount:

- Q2a Parental Contribution: This may be listed as Family Contribution or Expected Family Contribution.

- Q2b Student Savings/Assets/Contributions: This includes any amount contributed by the student that is not labeled "summer." This includes student earnings, student income, self-help.

- Q2c Student Summer Earnings: This includes any summer contribution by the student, such as summer savings.

- Q2d - Q2f Other (specify): This includes any resource that does not fit into categories a - c, such as social security benefits.

Q3 School Estimate of Need

Enter an amount for Q3 only if the estimate of need appears on the school documents. If the need does not appear on the student's records, do not calculate it; instead, code Q3 as 99998.

SPECIFIC INSTRUCTIONS
STUDENT FINANCIAL AID FORM
PAGE TWO FINANCIAL AID

Page two of the Student Financial Aid Form contains information on the sources and amounts of financial aid received by the student. You should transcribe the school's most recent information on a student's financial aid. We want to get amounts that are the closest as possible to what the student actually received. The following three terms may appear on financial aid records and will help you determine which amounts to transcribe:

- Amount awarded: This is the amount of aid that was offered to the student. Record this amount only if accepted and disbursed amounts are not listed.
- Amount accepted: This is the amount of aid the student chose to accept from what was offered. It is often the same as amount awarded. Record this amount if the disbursed amount is not listed.
- Amount disbursed: This is the amount the student actually received. Always record this amount if it is available. For example, if a student was awarded $600 in aid for a whole year, but only attended one semester and only received $300, you would record the $300.

If there is information on financial aid received for summer school, combine it with information for the preceding academic year. For example, the Summer of '81 would be included with 80-81 amounts. The only exception to this rule is explained in the instructions for coding Federal GSL (Q5b).

Once all the financial aid amounts have been entered for a particular year, code the remaining categories for that year as zeros.

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Q4 Scholarships and Grants

Question four contains information on financial aid awards that do not need to be re-paid. These financial aid awards usually contain the words "scholarship," "grant," "award," or "prize" in the name.

Listed below is a description of each category in Q4. If you are not sure which category should be used to record a scholarship or grant, make a problem sheet.

- Q4a Pell Grant/Basic Educational Opportunity Grant (BEOG): Enter an amount if Pell or BEOG appears by name or initials on the student's records.

- Q4b supplemental Educational Opportunity Grant (SEOG): Enter an amount if SEOG appears by name or initials on the student's records.

- Q4c State Scholarship Program: These grants usually contain the name of the state or the word "state" in the title. However, the sure not to include a university scholarship from a state school in this category. College or university scholarships are entered in Q4d.

- Q4d College .r University Scholarship: Any scholarship or grant awarded by the school is entered in this category. Keep in mind the name of the school as you review the financial aid records, since some schools use abbreviations for the school name.

- Q4e Scholarships from Private Organizations: Enter any grants or scholarships awarded by private organizations in this category.

- Q4f - Q4g Other (specify): Enter any scholarships or grants that do not fit into any other category. Be sure to specify the name of the grant.

- Q4t Total Scholarships and Grants: If a total is given on the school records, be sure that it reflects the most recent information available (awarded, accepted, or disbursed), since this was the information recorded in the categories. As in regular coding, if the sum of the categories does not equal the total, make a problem sheet. If no total appears on the records, code the sum of the categories as the total.

Q5 Loans

Question five contains information on financial aid that must be re-paid. Listed below is a description of each category in Q5. If you are not sure which category should be used to record a loan, make a problem sheet.

- Q5a National Direct Student Loan (NDSL): Enter an amount if this loan appears by name or initials on the student's records.

- Q5b Federal Guaranteed Student Loan Program (GSL): If this loan was received, it will appear by name or initials on the student's record. However, some states have their own state GSL program, which should be recorded in Q5c, not Q5b. Category Q5b is only used for Federal GSL. The Federal GSL has a limit for undergraduates of $2500 per year. The amount received for Summer can be counted toward either the preceding or following academic year, as long as the amount for a 12 month period does not exceed $2500. For example, in the first situation listed below, the 82 Summer amount is counted with the 82-83 academic year. In the second situation, the summer is counted with the 81-82 academic year. Both situations are acceptable:

	Fall 81	Summer 82	Fall 82
1.	$2500	$1500	$1000
2.	$1500	$1000	$2500

The following situation is not acceptable, since adding the summer amount to either year would make it more than $2500:

Fall 81	Summer 82	Fall 82
$2500	$1000	$2500

If you encounter a situation that does not seem to be acceptable, make a problem sheet.

- Q5c State Student Loan Program: These loans usually contain the name of the state or the word "state" in the title. This includes state guaranteed student loan programs. Do not confuse these loans with college or university loans from a state school, which are recorded in Q5d.

- Q5d College or University Loan Program: Keep in mind the name of the college or university, since some schools use abbreviations for the school name.

- Q5e Regular Bank Loan: Include in this category any regular bank loan that is not part of a loan program listed elsewhere in Q5.

- Q5f Other loan (specify): Include in this category any loans that do not fit into any other category. Be sure to specify the name of the loan.

- Q5T Total Loans: If a total appears on the school records, record it on the form. As in regular coding, if the sum of the categories does not equal the total, make a problem sheet. If no total appears on the records, code the sum of the categories as the total.

Q6 Employment

Question six contains information on a student's participation in any employment program that is considered by the school to be part of the student's financial aid package. The most common program is College Work-Study (CWS or CWSP), which is recorded in Q6a. Any other employment program treated by the school as financial aid should be entered in Q6b or Q6c.

Q7 Total Aid

If a total aid amount is given on the school documents, record it in Q7. This amount is used to verify the amounts in Q4-Q6. Be sure that it reflects the most recent information (awarded, accepted, disbursed) that was recorded in Q4-Q6. If the sum of the categories does not equal the total, make a problem sheet. If no total is given, leave Q7 blank.

APPENDIX L

MACHINE EDIT MANUAL

High School and Beyond
Financial Aid Records Study

Machine Edit Manual

March 1985

Development of Edit Program

The first step in creating a machine edit program is developing edit check specifications. A draft of these specifications for range and logic checks is contained in the following pages. The edit checks are designed to identify data entry and manual editing/coding errors.

The types of checks contained in the edit specifications are:

- Alpha versus numeric: This edit check consists of checking all fields in the data record to make sure that pure numeric fields contain no alphabetic or special characters.
- Range check: This involves checking that values coded fall within permissible high and low values for each numeric field in the record.
- Skip pattern check: These checks verify that all skip instructions on the questionnaire have been correctly followed by the respondent.
- Data consistency check: These checks compare data in different fields within a record to ensure that consistent answers were given by the respondent.
- Addition check: This type of check is used to verify that the total fields are correct.

Once the edit specifications have been finalized by the analysts, a machine edit program is produced using the Westat Code and Edit (COED) system. COED is an integrated data preparation system designed to generate a codebook and machine edit program. This system is based on the concept of a central file that defines the layout of the keyed data and the characteristics of the data types. This file is then used as a common dictionary to drive the other system functions such as codebook generation, range checks, skip pattern logic checks, automatic programming of marginal distributions, and SAS file creation. This common dictionary of information acts as an extremely useful quality assurance device since each component of the system is driven by a fully debugged machine-readable definition of the survey data form. Thus, any subsequent revisions to the coding scheme can be quickly and automatically updated in all subsequent functions.

A similar function and dictionary file exists for logic checks. Logic checks for skip patterns which appear in the codebook (and thus are included in the codebook dictionary file), form the basis for the logic check dictionary file. All other logic checks are then added to the logic check dictionary. These checks, which are expressed in an English-like language, are then used in running the code generation module which translates them to COBOL code. This component efficiently generates a syntactically correct code and compiles it automatically.

While the program is being developed, test data will be generated to test each machine edit check. The program will be fully tested and debugged before machine edit production begins.

Editing Data Batches

Questionnaires are sent in batches to be key entered (and 100 percent verified) onto temporary data sets at Westat's key entry facility. These data sets are transmitted from Westat's microcomputers to the machine edit computer facility. A data file is created for each transmission, and after verfication of successful transmission, the machine edit program is run on the data file.

When the edit program detects an error, the record failing the edit check will be written to an error listing report (Exhibit 1). For each case with errors, the report includes a listing of the records, the field names that are out of range, and the logic check numbers that have errors. Using this report, the machine editor will determine what corrections need to be made by checking the financial aid form(s) and any problem sheets that were resolved during coding or data retrieval. The machine editor will consult with the coding supervisor and other project staff to resolve issues he/she cannot. These corrections are then written on update sheets to be key entered.

Occasionally, a respondent error is detected that was not identified during the coding operation. For these cases, a data retrieval call will be made to the school. To prepare the case for data retrieval, the editor completes a coding problem sheet and attaches it to the questionnaire. In addition to the other information on the problem sheet, the editor records the batch number. The data retrieval cases are then sent to the Telephone Research Center to be resolved. When data retrieval is completed, the editor writes the corrections on an update sheet for that batch.

When all errors on the machine edit error listing have been resolved or sent for data retrieval, all update sheets for that batch are keyed to produce an update file. The update file is merged with the batch data file and a new edit is run. This cycle is continued until all errors for that batch are resolved.

Data File/Management File Match

When all the machine edit batches are clean, they are merged together to form the student financial aid file. Next, any duplicate records found in the merged file are corrected.

```
PRIVATE SCHOOL FEDERAL FUND TASK2
                                 $$$$$$
101-200 : 000015000802425500033000000000000000000000000000000000

  1-100 : 0100125 1 1 12000012008022000022000012003322000022000022000012000712001212000112000122000010000000000
101-200 : 000015000802425500033000000000000000000000000000000000

018C1 =1 #

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                                 $$$$$$
101-200 : 600000000000125000001600000000000000000000000000000000

  1-100 : 0290943 1 1 12001612001622000022000012001612001612001612000312001612001012000512001612001610027500001
101-200 : 600000000000125000001660000000000000000000000000000000

018C1 =1 #

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                                 $$$$$$
101-200 : 600000000000113000002500000000000000000000000000000000

  1-100 : 0290985 1 1 22000022000012002322000012000622000012002112004512004522000022000022000022000010025000000
101-200 : 600000000000113000002500000000000000000000000000000000

018C1 =1 #

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                                 $$$$$$
101-200 : 000000000000212500001700000000000000000000000000000000

  1-100 : 0430099 1 1 21001722000022000022000012001722000012001722000012001722000012001522000022000010000000000
101-200 : 000000000000212500001700000000000000000000000000000000

018C1 =1 #

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                                 $$$$$$
101-200 : 000000000000990000011000000000000000000000000000000000

  1-100 : 0430112 1 1 11010011010012012322000022000022000011012322000011005011012311012311001022000010000000000
101-200 : 000000000000990000011000000000000000000000000000000000

018C1 =1 #

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                                                                      $$$$$$
101-200 : 70000000000027049001700000000000000000000005749650114

  1-100 : 0570015 1 1 12005612005612005622000012005612005622000022000012005612000422000022000022000010400234004
101-200 : 70000000000027049001700000000000000000000005749650114

018F1 =1 #

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                                                                      $$$$$$
101-200 : 000000000000000000000000000000000000000000001450000240

  1-100 : 063000  1 1 21006022000022000022000012024022000022000012006911030922000022000022000022000010000000000
101-200 : 000000000000000000000000000000000000000000001450000240
```

L-5

EXHIBIT 1

Duplicate records within a batch were corrected during the machine edit, but duplicates between batches may be discovered when the files are merged.

When the duplicates have been corrected, the school status is copied from the management file to the master file. The master file contains a record for each unique school/student combination in the sample. Next, the student status (and duplicate ID number, if applicable) are copied from the financial aid file to the master file. An error listing is then produced of cases in the master file with a school status of complete but no student status, or a school status other than complete with a student status. Corrections are then made to the financial aid file, management file and master file until all errors are resolved.

1.	IDSC1	06P 01 001-006 001002 THRU 800137
2.	BLK11	01A 01 007 SPACES
3.	IDST1	06P 01 008-013 010057 THRU 564867
4.	BLK21	01A 01 014 SPACES
5.	REC1	01N 01 015 1
6.	SUB1	01N 01 016 0
7.	BLK31	01A 01 017 SPACES
8.	QIA	02N 01 018-019 01 02 03
9.	QIB	06P 01 020-025 001002 THRU 800137 999999
10.	QIIA	02N 01 026-027 01 02 03 04 99
11.	QIIB	09N 01 028-036 000000001 THRU 999999993
12.		999999999
13.	QIIIA	01N 01 037 1 2 5 8 9
14.	QIIIB	01N 01 038 1 2 5 8 9
15.	QIIIC	01N 01 039 1 2 5 8 9
16.	QIIID	01N 01 040 1 2 5 8 9
17.	QIVA	01N 01 041 1 2 5 8 9
18.	QIVB	01N 01 042 1 2 5 8 9
19.	QIVC	01N 01 043 1 2 5 8 9
20.	QIVD	01N 01 044 1 2 5 8 9
21.	IDSC2	06P 02 001-006 001002 THRU 800137
22.	BLK12	01A 02 007 SPACES
23.	IDST2	06P 02 008-013 010057 THRU 564867
24.	BLK22	01A 02 014 SPACES
25.	REC2	01N 02 015 2
26.	SUB2	01N 02 016 1 2 3 4
27.	BLK32	01A 02 017 SPACES
28.	Q1A	05P 02 018-022 09050 THRU 15000 99995 99998
29.	Q1B	05P 02 023-027 00000 THRU 10000 99995 99998
30.	Q1C	05P 02 028-032 00000 THRU 04000 99995 99998
31.	Q1D	05P 02 033-037 00000 THRU 04000 99995 99998
32.	Q1E	05P 02 038-042 00000 THRU 05000 99995 99998
33.	Q1F	05P 02 043-047 00000 THRU 02000 99995 99998
34.	Q1G	05P 02 048-052 00000 THRU 02000 99995 99998
35.	Q1T	05P 02 053-057 00050 THRU 42000 99995 99998
36.	Q2A	05P 02 058-062 00000 THRU 15000 99995 99998
37.	Q2B	05P 02 063-067 00000 THRU 10000 99995 99998
38.	Q2C	05P 02 068-072 00000 THRU 09000 99995 99998
39.	Q2D	05P 02 073-077 00000 THRU 10000 99995 99998
40.	Q2E	05P 02 078-082 00000 THRU 10000 99995 99998
41.	Q2F	05P 02 083-087 00000 THRU 10000 99995 99998
42.	Q2T	05P 02 088-092 00050 THRU 20000 99995 99998
43.	Q3	05P 02 093-097 00000 THRU 20000 99995 99998
44.	OTHQ1F	02N 02 098-099 95 98 99 SPACES
45.	OTHQ1G	02N 02 100-101 95 98 99 SPACES
46.	OTHQ2D	02N 02 102-103 95 98 99 SPACES
47.	OTHQ2E	02N 02 104-105 95 98 99 SPACES
48.	OTHQ2F	02N 02 106-107 95 98 99 SPACES
49.	IDSC3	06P 03 001-006 001002 THRU 800137
50.	BLK13	01A 03 007 SPACES
51.	IDST3	06P 03 008-013 010057 THRU 564867
52.	BLK23	01A 03 014 SPACES
53.	REC3	01N 03 015 3
54.	SUB3	01N 03 016 1 2 3 4
55.	BLK33	01A 03 017 SPACES
56.	Q4A	05P 03 018-022 00000 THRU 01800 99995 99998
57.	Q4B	05P 03 023-027 00000 THRU 02000 99995 99998
58.	Q4C	05P 03 028-032 00000 THRU 04000 99995 99998
59.	Q4D	05P 03 033-037 00000 THRU 10000 99995 99998
60.	Q4E	05P 03 038-042 00000 THRU 04000 99995 99998

Range Checks (continued)

61.	04F	05P 03 043-047 00000 THRU 04000 99995 99998
62.	04G	05P 03 048-052 00000 THRU 04000 99995 99998
63.	04T	05P 03 053-057 00000 THRU 20000 99995 99998
64.	05A	05P 03 058-062 00000 THRU 03000 99995 99998
65.	05B	05P 03 063-067 00000 THRU 03000 99995 99998
66.	05C	05P 03 068-072 00000 THRU 02000 99995 99998
67.	05D	05P 03 073-077 00000 THRU 02000 99995 99998
68.	05F	05P 03 078-082 00000 THRU 02000 99995 99998
69.	05F	05P 03 083-087 00000 THRU 02000 99995 99998
70.	05I	05P 03 088-092 00000 THRU 10000 99995 99998
71.	06A	05P 03 093-097 00000 THRU 08000 99995 99998
72.	06B	05P 03 098-102 00000 THRU 08000 99995 99998
73.	06C	05P 03 103-107 00000 THRU 08000 99995 99998
74.	OTH04F	02R 03 108-109 95 98 99 SPACES
75.	OTH04G	02R 03 110-111 95 98 99 SPACES
76.	OTH05F	02R 03 112-113 95 98 99 SPACES
77.	OTH06B	02R 03 114-115 95 98 99 SPACES
78.	OTH06C	02R 03 116-117 95 98 99 SPACES

Logic Checks

Before the following logic checks are performed, each case is checked for two conditions: (1) that there are no duplicate records, and (2) that every case has a record 1.

1. If QIA = 01, then QIB must not equal 999999.
2. If QIA = 01, then QII, QIII, and QIV must equal all 9's.
3. If QIA = 02, then QIB, QII, QIII, and QIV must equal all 9's.
4. If QIA = 03, then QIB must equal 999999.
5. If QIA = 03, then QIIA, QIII, and QIV must not equal all 9's in any field.
6. If QIIA = 03, then QIIB must not equal all 9's.
7. If QIIA = 01, 02, or 04, then QIIB must equal all 9's.
8. If QIVA = 1, then QIIIA must equal 1. (Repeat for years B, C, and D)
9. If QIIIA = 2, 5, or 8, then QIVA must not equal 1. (Repeat for years B, C, and D)

12. If QIA = 01 or 02, then Records 21 through 34 do not exist.
13. If QIVA = 2, 5, 8, or 9, then Records 21 and 31 do not exist.
14. If QIVB = 2, 5, 8, or 9, then Records 22 and 32 do not exist.
15. If QIVC = 2, 5, 8 or 9, then Records 23 and 33 do not exist.
16. If QIVD = 2, 5, 8 or 9, then Records 24 and 34 do not exist.
17. If QIVA = 1, then Records 21 and 31 must exist.
18. If QIVB = 1, then Records 22 and 32 must exist.
19. If QIVC = 1, then Records 23 and 33 must exist.
20. If QIVD = 1, then Records 24 and 34 must exist.

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21. If Q1A, Q1B, Q1C, Q1D, Q1E, Q1F and Q1G do not equal 99995 or 99998, then Q1A plus Q1B plus Q1C plus Q1D plus Q1E plus Q1F plus Q1G must equal Q1T. (Repeat for Records 21, 22, 23 and 24)

OR

If Q1A plus Q1B plus Q1C plus Q1D plus Q1E plus Q1F plus Q1G does not equal Q1T, then at least one field Q1A, Q1B, Q1C, Q1D, Q1E, Q1F, or Q1G must equal 99995 or 99998. (Repeat for Records 21, 22, 23 and 24)

22. If one or more fields Q1A, Q1B, Q1C, Q1D, Q1E, Q1F or Q1G equals 99995 or 99998 and Q1T does not equal 99995 or 99998, then the sum of the categories that are not 99995 or 99998 must be less than Q1T. (Repeat for Records 21, 22, 23 and 24)

OR

If the sum of the categories that are not 99995 or 99998 equals Q1T, then Q1A, Q1B, Q1C, Q1D, Q1E, Q1F and Q1G must not equal 99995 or 99998. (Repeat for Records 21, 22, 23 and 24)

25. If Q2A, Q2B, Q2C, Q2D, Q2E and Q2F do not equal 99995 or 99998, then Q2A plus Q2B plus Q2C plus Q2D plus Q2E plus Q2F must equal Q2T. (Repeat for Records 21, 22, 23 and 24)

OR

If Q2A plus Q2B plus Q2C plus Q2D plus Q2E plus Q2F do not equal Q2T, then at least one field Q2A, Q2B. Q2C, Q2D, Q2E or Q2F must equal 99995 or 99998. (Repeat for Records 21, 22, 23 and 24)

26. If one or more fields Q2A, Q2B, Q2C, Q2D, Q2E or Q2F equals 99995 or 99998, and Q2T does not equal 99995 or 99998, then the sum of the categories that are not 99995 or 99998 must be less than Q2T. (Repeat for Records 21, 22, 23 and 24)

OR

If the sum of the categories that are not 99995 or 99998 equals Q2T, then Q2A, Q2B, Q2C, Q2D, Q2E and Q2F must not equal 99995 or 99998. (Repeat for Records 21, 22, 23 and 24)

29. If Q1T does not equal 99995 or 99998 and Q2T does not equal 99995 or 99998, and Q2T is not greater than Q1T and Q3 does not equal 99995 or 99998, then Q1T minus Q2T must equal Q3.

29A. If Q2T is not less than Q1T, then Q3 must equal zero.

31. If Q1F equals zero, then OTHQ1F must equal 99.

32. If Q1F does not equal zero, then OTHQ1F must not equal 99.

33. If Q1F equals 99995, then OTHQ1F must equal 95.

34. If Q1F equals 99998, then OTHQ1F must equal 98.

35. If Q1G equals zero, then OTHQ1G must equal 99.

36. If Q1G does not equal zero, then OTHQ1G must not equal 99.

37. If Q1G equals 99995, then OTHQ1G must equal 95.

38. If Q1G equals 99998, the OTHQ1G must equal 98.

39. If Q2D equals zero, then OTHQ2D must equal 99.

40. If Q2D does not equal zero, then OTHQ2D must not equal 99.

41. If Q2D equals 99995, then OTHQ2D must equal 95.

42. If Q2D equals 99998, then OTHQ2D must equal 98.

43. If Q2E equals zero, then OTHQ2E must equal 99.

44. If Q2E does not equal zero, then OTHQ2E must not equal 99.

45. If Q2E equals 99995, then OTHQ2E must equal 95.

46. If Q2E equals 99998, then OTHQ2E must equal 98.

47. If Q2F equals zero, then OTHQ2F must equal 99.

48. If Q2F does not equal zero, then OTHQ2F must not equal 99.

49. If Q2F equals 99995, then OTHQ2F must equal 95.

50. If Q2F equals 99998, then OTHQ2F must equal 98.

51. If Q4A, Q4B, Q4C, Q4D, Q4E, Q4F and Q4G do not equal 99995 or 99998, then Q4A plus Q4B plus Q4C plus Q4D plus Q4E plus Q4F plus Q4G must equal Q4T. (Repeat for Records 31, 32, 33 and 34)

OR

If Q4A plus Q4B plus Q4C plus Q4D plus Q4E plus Q4F plus Q4G does not equal Q4T, then at least one field Q4A, Q4B, Q4C, Q4D, Q4E, Q4F or Q4G must equal 99995 or 99998. (Repeat for Records 31, 32, 33 and 34)

52. If one or more fields Q4A, Q4B, Q4C, Q4D, Q4E, Q4F or Q4G equals 99995 or 99998 and Q4T does not equal 99995 or 99998, then the sum of the categories that are not 99995 or 99998 must be less than Q4T. (Repeat for Records 31, 32, 33 and 34)

OR

If the sum of the categories that are not 99995 or 99998 equals Q4T, then Q4A, Q4B, Q4C Q4D. Q4E, Q4F and Q4G must not equal 99995 or 99998. (Repeat for Records 31, 32, 33 and 34)

57. If Q5A, Q5B, Q5C, Q5D, Q5E and Q5F do not equal 99995 or 99998, then Q5A plus Q5B plus Q5C plus Q5D plus Q5E plus Q5F must equal Q5T. (Repeat for Records 31, 32, 33 and 34)

OR

If Q5A plus Q5B plus Q5C plus Q5D plus Q5E plus Q5F do not equal Q5T, then at least one field Q5A, Q5B, Q5C, Q5D, Q5E or Q5F must equal 99995 or 99998. (Repeat for Records 31, 32, 33 and 34)

58. If one or more fields Q5A, Q5B, Q5C, Q5D, Q5E or Q5F equals 99995 or 99998 and Q5T does not equal 99995 or 99998, then the sum of the categories that are not 99995 or 99998 must be less than Q5T. (Repeat for Records 31, 32, 33 and 34)

OR

If the sum of the categories that are not 99995 or 99998 equals Q5T, then Q5A, Q5B, Q5C, Q5D, Q5E and Q5F must not equal 99995 or 99998. (Repeat for Records 31, 32, 33 and 34)

65. If Q4F equals zero, then OTHQ4F must equal 99.

66. If Q4F does not equal zero, then OTHQ4F must not equal 99.

67. If Q4F equals 99995, then OTHQ4F must equal 95.

68. If Q4F equals 99998, then OTHQ4F must equal 98.

69. If Q4G equals zero, then OTHQ4G must equal 99.

70. If Q4G does not equal zero, then OTHQ4G must not equal 99.

71. If Q4G equals 99995, then OTHQ4G must equal 95.

72. If Q4G equals 99998, then OTHQ4G must equal 98.

73. If Q5F equals zero, then OTHQ5F must equal 99.

74. If Q5F does not equal zero, then OTHQ5F must not equal 99.

75. If Q5F equals 99995, then OTHQ5F must equal 95.

76. If Q5F equals 99998, then OTHQ5F must equal 98.

77. If Q6B equals zero, then OTHQ6B must equal 99.

78. If Q6B does not equal zero, then OTHQ6B must not equal 99.

79. If Q6B equals 99995, then OTHQ6B must equal 95.

80. If Q6B equals 99998, then OTHQ6B must equal 98.

81. If Q6C equals zero, then OTHQ6C must equal 99.

82. If Q6C does not equal zero, then OTHQ6C must not equal 99.

83. If Q6C equals 99995, then OTHQ6C must equal 95.

84. If Q6C equals 99998, then OTHQ6C must equal 98.

85. Q4T plus Q5T plus Q6A plus Q6B plus Q6C must be greater than zero (only sum categories that are less than 99995).

86. Q4T plus Q5T plus Q6A plus Q6B plus Q6C must not be greater than Q1T (only sum categories that are less than 99995).

APPENDIX M

FINAL DATA FILE CHECKS

Financial Aid Records Study

Final Data File Checks

1. On the VAX, load the Master file, which is the file of each school/student combination that was used to generate mailout materials. Match the Master file against the receipt control file (SCHOOL.IDX) by school ID. The receipt control file has one record per school ID, but the master file may have several records per school ID. Copy the mail status code (col 23-24) from the receipt control file onto the Master file for every record with that school ID.

2. Copy the updated Master file from the VAX to EDS.

3. When edit batches clean: Merge all edit batches. Check for duplicate school/student ID numbers (col 1-13). Correct duplicate cases.

4. Match the Master file against the merged questionnaire edit file by school/student ID. Print an error listing for the following cases:

   (a) If the mail status on the Master file equals CM or DP and there is <u>no</u> matching record 10 on the questionnaire file.

   (b) If the mail status on the Master file equals DP and the student status (col 18-19) on record 10 of the questionnaire file does <u>not</u> equal 01.

   (c) If there is a record 10 on the questionnaire file but the matching record on the master file does not have a mail status of CM or DP.

5. Make corrections to questionnaire file and/or master file. Re-run step 4 until clean.

APPENDIX N

STATE GSL AGENCIES SERVED BY OUTSIDE CONTRACTORS

STATE GSL AGENCIES SERVED BY OUTSIDE CONTRACTORS

United Student Aid Fund (USAF)

Alaska
Arizona
Delaware
Hawaii
Indiana
Iowa
Maine
Maryland
Montana
Nevada

Higher Education Assistance Foundation (HEAF)

District of Columbia
Kansas
Minnesota
Nebraska
West Virginia
Wyoming

Cybernetics and Systems, Inc.

Florida
Missouri
Tennessee